DOCUMENT RESUME

ED 133 620	95	CG 006 951

TITLE	Projects to Advance Creativity in Education: Administrator's Manual for State Plan Programs. Title III, Elementary and Secondary Education Act.
INSTITUTION	Bureau of Elementary and Secondary Education (DHEW/OE), Washington, D.C.
PUB DATE	71
NOTE	205p.; Charts in Appendix G will reproduce poorly due to type size
EDRS PRICE	MF-$0.83 HC-$11.37 Plus Postage.
DESCRIPTORS	Administrative Personnel; *Administrator Guides; *Creativity; *Educational Innovation; *Educational Legislation; Government Publications; Legislation; Manuals; *Program Planning; State Departments of Education; State Federal Aid; *State Programs
IDENTIFIERS	*Elementary Secondary Education Act Title III; ESEA Title III

ABSTRACT

This manual provides a guide to State administrators on the meanings, implications and practices involved in the Title III legislation and legislative changes accompanying it. A base for building accountability into projects and programs is included to assist State educational agencies in their role as educational change agents. The manual is divided into five chapters: (1) Purposes of Title III; (2) State Plan Administration; (3) Local Program Development and Operation; (4) Funding and Fiscal Considerations; (5) Reporting Requirements for State Educational Agencies. There are also a number of appendices, including sample formats for plan preparations; grant terms and conditions; and a bibliography of related publications. It is hoped that the manual will facilitate the implementation of Title III i.e. the introduction of projects to advance creativity in education. (NG)

****
* Documents acquired by ERIC include many informal unpublished *
* materials not available from other sources. ERIC makes every effort *
* to obtain the best copy available. Nevertheless, items of marginal *
* reproducibility are often encountered and this affects the quality *
* of the microfiche and hardcopy reproductions ERIC makes available *
* via the ERIC Document Reproduction Service (EDRS). EDRS is not *
* responsible for the quality of the original document. Reproductions *
* supplied by EDRS are the best that can be made from the original. *
****

OMB 51-R0868
OE-44 60

ED 133 620

STATE PLAN ADMINISTRATOR'S MANUAL

ESEA

U S DEPARTMENT OF HEALTH
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

U.S. DEPARTMENT
OF
HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION

CG 006 951

DISCRIMINATION PROHIBITED -- Title VI of the Civil Rights Act of 1964 states: "No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance." Therefore, the ESEA Title III program, like every program or activity receiving financial assistance from the Department of Health, Education, and Welfare, must be operated in compliance with this law.

Applicants and grantees must meet all program and fiscal requirements of ESEA Title III and of Title 45, Chapter 1, Part 118, of the Code of Federal Regulations.

PROJECTS TO ADVANCE
CREATIVITY IN EDUCATION

ADMINISTRATOR'S MANUAL FOR
STATE PLAN PROGRAMS

TITLE III, ELEMENTARY AND SECONDARY EDUCATION ACT

1971

PREFACE

Several changes have been mandated in the operation of the Title III Program since the passage of the 1969 Amendments to the Elementary and Secondary Education Act of 1965.

The name of the Title III Program, known also as PACE (Projects to Advance Creativity in Education), has been changed to Supplementary Educational Centers and Services; Guidance, Counseling, and Testing. This new title reflects the combining of programs formerly funded under Title III, ESEA, and Title V-A, NDEA, into a single authorization. Each State will expend of the FY 1971 funds, under this provision, at least 50 percent--a base figure--of the FY 1970 Federal funds expended under Title V-A, NDEA for guidance, counseling and testing programs or projects and for State supervision and leadership activities.

The Amendments also authorize the Commissioner of Education to (1) provide for effective participation of private school children in programs funded under ESEA Title III in any State which does not substantially, or cannot legally, provide for such participation; (2) certify State Advisory Councils which must hold at least one public meeting a year, and (3) use 15 percent of the funds available to the States to fund special innovative and exemplary programs and projects which hold promise of making a substantial contribution to the solution of critical education problems common to all or several States.

This manual interprets the above legislative changes to provide a base of common understanding among State educational agencies. A base for building accountability into projects and programs is included also, to assist State educational agencies in their role as educational change agents.

TABLE OF CONTENTS

Page

CHAPTER ONE -- THE PURPOSE OF TITLE III 1

I. OBJECTIVES 1
II. TYPES OF PROGRAMS 1
III. PROGRAM EMPHASES 1
IV. LEGISLATIVE HISTORY 2

CHAPTER TWO -- STATE PLAN ADMINISTRATION 4

I. ELIGIBILITY FOR PAYMENTS 4
  A. Submission of State Plans 4
  B. Effective Date of the State Plan 5
  C. Amending State Plan 5
  D. Calendar of Dates for Submitting Material to O.E. 6
II. STATE ORGANIZATION AND FUNCTIONS 6
  A. State Advisory Council 6
    1. Establishment and Certification 6
    2. Functions 6
    3. Support Staff 7
    4. Report of the State Advisory Council 7
  B. State Agency Organization and Functions 7
    1. Organization of State 7
    2. Staff Functions 8
    3. Professional Development Activities 10
    4. Documentation of Results of Work Performed by Consultants .. 10
  C. Funds for State Educational Agency Activities 11
III. STATE PLAN PROGRAM 11
  A. The State Educational Agency As Facilitator of Educational Change 11
  B. Assessment of Educational Needs 20
  C. Project Development 27
  D. Project Proposal Review Process 28
    1. Criteria for Review of Project Proposal 28
    2. Panel of Experts 29
    3. Special Consideration to Local Educational Agencies 29
    4. Equitable Distribution Requirements 30
  E. On-site Evaluation of Projects 30
  F. Evaluation 31
  G. Dissemination/Change Strategies 39
    1. Definitions 39
    2. Management Implications 40
      a. Organizational Position of Title III Program 40
      b. Dissemination Personnel 40
      c. Dissemination Objectives 40
      d. Relationship of Needs Assessment and Dissemination ... 40
      e. Dissemination Strategies 41
      f. Linkage of Evaluation and Dissemination 41
    3. Nature and Assignment of Dissemination Responsibilities 41
      a. Organization 41
      b. Information Retrieval 41

Page

c. Dissemination of Project Materials.................... 42
d. Dissemination of Evaluation Findings.................. 42
e. Technical Assistance to Local Educational Agencies..... 42
4. Provisions for Adoption.................................. 45
5. U.S. Office of Education Dissemination Program............. 45
a. National Dissemination Activities...................... 45
b. Technical Assistance to State and Local Educational Agencies... 46
6. State Educational Agency Copyright Provisions.............. 48
H. Guidance, Counseling and Testing.............................. 49
1. Scope and Purpose of the Act................................. 49
2. State Supervisory and Leadership Services.................. 50
a. Use of Funds.. 50
b. Categories of Activities.................................. 53
c. Categories of State Level Expense...................... 53
d. Utilization of Related Resources....................... 53
3. Program for Testing Abilities and Aptitudes............... 54
4. Guidance and Counseling Programs........................... 55
5. Operational State Plan...................................... 58
6. Participation of Nonpublic School Children in Guidance and Counseling Projects and Programs.......................... 59
7. Advisory Committees... 59
I. Other Program Considerations.................................. 59
1. Handicapped.. 59
a. State Plan.. 59
b. Definition of Terms...................................... 60
c. Types of Projects Which Can Be Designed to Demonstrate Ways to Solve Critical Proglems in the Education of the Handicapped.. 61
d. Bureau of Education for the Handicapped Assistance to Educational Agencies................................... 62
2. Hearings and Project Terminations......................... 62
a. Opportunity for Hearing................................. 62
b. Alterations or Amendments to Projects................. 62
(1) Program Changes..................................... 62
(2) Extension of Project or Budget Period............ 63
(3) Transfer of Funds................................... 63
c. Continuation and Termination of Projects.............. 63
(1) Costs for Continuation............................. 63
(2) Termination of Projects............................ 63
3. Participation of Children from Private Nonprofit Schools... 64
a. Testing Programs... 65
b. Title III Projects, Including Those in the Areas of Guidance and Counseling.................................. 66
(1) Extent of Involvement.............................. 66
(2) Facilities.. 66
(3) Personnel... 67
(4) Equipment... 67
(5) Inservice Training................................. 67
c. Complaint Procedure...................................... 67

Page

4. Funds Required for Innovative Practices 69
J. The State Educational Agency and the Delegation of Authority and Responsibility 69
1. Intermediate Educational Agency Activities 70
2. Data Collection 70
3. Regional Activities 70
4. Restriction of Title III Grantee Activities 70
K. Suggested Project Numbering System 71
L. Maintenance of Fiscal Effort 72

CHAPTER THREE -- LOCAL PROGRAM DEVELOPMENT AND OPERATION 73

I. PROJECT PROPOSAL SUBMISSION PROCESS 73
A. Dates 73
B. Procedures 73
C. Eligible Applicants 73
1. Local Educational Agency 73
2. Junior Colleges and Technical Institutes 74
3. Universities and Colleges 74
II. FUNDING PROCESS 74
A. Project Period 74
B. Budget Period 74
C. General Level of Financial Participation 75
D. Grant 75
E. Continuation Grant 75
F. Supplemental Funds 75
III. EDUCATIONAL ACCOUNTABILITY 75
IV. PROJECT DESIGN AND OPERATION 77
A. Project Activities 77
1. Planning Activity 77
2. Pilot Activity 77
3. Operational Activity 77
B. Educational Centers 77
C. Professional Staff Development 78
D. Representation of Cultural and Educational Resources of the Community 78
1. Teachers and Other School Personnel 78
2. Other Cultural and Educational Resources 79

CHAPTER FOUR -- FUNDING AND FISCAL CONSIDERATIONS 80

I. PAYMENT OF FUNDS TO STATES 80
A. Amounts 80
B. Limitations 80
C. Letter-of-Credit System 80
II. STATE EDUCATIONAL AGENCY ACTIVITIES 81
A. Use of Funds 81
1. Obligations 81
2. Expenditures 82
3. Liquidation of Obligations 82

Page

B. Records of Accountability and Documentation of Costs........... 82
    1. Allowable Expenditures for a State Educational Agency...... 82
    2. Proration of Staff Time................................ 83
    3. Receipt of Material and Equipment Purchased................ 83
    4. Equipment Inventory.................................... 83
    5. Maintenance of Local Financial Reports..................... 84
    6. Maintenance of Records.................................. 84
    7. Documentation of Consultant Services..................... 84
C. Annual Financial Report.. 84
D. Office of Education Services Available in the Areas of Fiscal Control, Accounting, and Audits............................ 85
III. LOCAL PROJECT ACTIVITIES... 85
A. Use of Funds... 85
    1. Obligations.. 85
    2. Expenditures... 85
    3. Liquidation of Obligations............................... 85
B. Funding Policy and Procedures.................................. 86
    1. Proposed Budget... 86
    2. Negotiation of Grant.................................... 86
    3. Funding Procedures 86
    4. Effective Date of Approved Project........................ 87
    5. Documentation of Travel.................................. 87
    6. Accounting for Travel Advances............................ 87
    7. Control Over Grant Funds................................. 88
    8. Grant-related Income.................................... 88
    9. Disposition of Grant-related Income....................... 88
    10. Accounting Basis.. 89
    11. Contracted Services..................................... 89
C. Records of Fiscal Accountability and Documentation of Costs.... 89
    1. Records of Project Transactions 89
    2. Allowable Expenditures for Local Educational Agency........ 90
    3. Proration of Staff Time.................................. 90
    4. Receipt of Materials and Equipment Purchased.............. 90
    5. Equipment Inventory..................................... 90
    6. Maintenance of Records.................................. 91
    7. Documentation of Consultant Services...................... 91
IV. EQUIPMENT AND MATERIALS... 91
A. Acquisition.. 91
B. Bidding Procedures... 91
C. Title of Equipment... 92
    1. General.. 92
    2. Transfer... 92
D. Control of Equipment... 92
E. Use of Equipment... 92
F. Maintenance and Repair... 93
G. Unauthorized Use of Equipment.................................. 93
H. Disposition 93
    1. Exchange... 93
    2. Sale or Other Disposition................................ 94
V. GRANTS INVOLVING CONSTRUCTION...................................... 94
A. General Provisions... 94
B. Labor Standards.. 96

Page

C. Manner of Construction 96
D. Open Bidding 96
  1. Obligation of Funds for Construction 96
  2. Recovery of Payments 97
  3. Leasing Facilities 97
VI. FISCAL AUDIT CONSIDERATIONS 97
A. Federal Audit 97
B. State Audit 97
C. Local Audit 97
D. Audit Exceptions 99

CHAPTER FIVE -- REPORTING REQUIREMENTS FOR STATE EDUCATIONAL AGENCIES 100

I. INTRODUCTION 100
II. THE ANNUAL REPORT 102
APPENDICES 122
Appendix A: Exhibit A--Format for the Preparation of an Operational Title III, ESEA State Plan 123
Exhibit B--Format for the Preparation of a State Plan 128
Appendix B: Title III ESEA State Advisory Council Certification Form 138
Appendix C: Office of Education Copyright Guidelines 140
Appendix D: Grant Terms and Conditions 145
Appendix E: Bibliography of OE Related Documents 158
Appendix F: Authorizations for ESEA Title III 162
Appendix G: CSE Hierarchical Objectives Charts 167

CHAPTER ONE

THE PURPOSE OF TITLE III

I. OBJECTIVES

The role of Title III of the Elementary and Secondary Education Act of 1965, as amended, in the improvement of American education is that of demonstrating the feasibility of innovations in a local context. These demonstrations should meet the criteria of having been field tested following research and development phases, usually under the auspices of State educational agencies, universities, foundations, or educational laboratories. They should be exemplary in that they will serve as models for other school systems that may wish to visit or replicate them and they should hold promise of being economically feasible.

In this manner, the Title III project bridges the research to practice gap by filling the diffusion role in the change continuum of research, development, diffusion, and adoption.

II. TYPES OF PROGRAMS

Under the Title III Program, State educational agencies are authorized to make grants to local educational agencies for innovative and exemplary programs and projects which are designed to demonstrate ways of making a substantial contribution to the solution of critical educational problems. For purposes of Title III, "innovation" is defined as an approach or program which is new to a State or a particular geographical area within a State. An "exemplary" project is one which can serve as a model for other areas--a project which has proven to be successful and is worthy of replication. Thus, an "innovative" project may not necessarily be an "exemplary" project, since an innovative approach may or may not prove to be successful. "Substantial contribution" refers to a program or project which can be replicated elsewhere if evaluation proves it to be an effective approach to solving educational problems.

III. PROGRAM EMPHASES

The extreme flexibility of Title III allows its resources to be focused on virtually any major educational need. It can be used as an effective agent to develop strategies for demonstrating exemplary programs to meet assessed needs and for designing innovative approaches that can be replicated by local educational agencies. Title III furnishes the seed money to produce innovative solutions to critical problems which are of concern to all or several States. In effect, this program offers money to plan and develop new programs, and test their feasibility for innovations as model programs which may be adapted throughout the Nation to meet critical needs.

In making long-range plans for improving education, States will identify their most critical educational needs in cooperation with local educational agencies and will encourage the development of projects which demonstrate highly creative approaches to meeting these needs, with the ultimate aim of promoting widespread adaptation, through other funding sources, of those programs which are judged to be the most promising. Therefore, the aim of Title III is to design and demonstrate creative solutions to major educational problems which affect various States and the entire Nation, rather than to provide direct aid on a massive scale.

IV. LEGISLATIVE HISTORY

Public Law 89-10 which created the Elementary and Secondary Education Act of 1965 (ESEA), provided for the administration of the ESEA Title III program by the U.S. Commissioner of Education to State educational agencies on a formula basis. The U.S. Commissioner of Education delegated the responsibility for carrying out the entire authorization (100 percent) for the ESEA Title III program to the Division of Plans and Supplementary Centers. The purpose of this authorization was to make grants to State educational agencies for supplementary educational centers and services; to stimulate and assist in the provision of vitally needed educational services not available in sufficient quantity or quality, and to stimulate and assist in the development and establishment of exemplary elementary and secondary school educational programs to serve as models for regular school programs.

With the passage of Public Law 90-247, dated January 2, 1968, the administration of the ESEA Title III program was divided between the State educational agencies (75 percent) and the U.S. Commissioner of Education (25 percent) for fiscal year 1969. Public Law 90-247 provided further, for fiscal year 1970, that the administration of the ESEA Title III program would reside solely with State educational agencies (100 percent). The purpose of the ESEA Title III program remained unchanged by this legislation.

On April 13, 1970, Public Law 91-230 was enacted and provided for the ESEA Title III program to be administered by State educational agencies (85 percent) and by the U.S. Commissioner of Education (15 percent). This authorization mandated the following changes in the ESEA Title III program:

(1) Programs formerly funded under ESEA Title III and NDEA V-A are combined within a single authorization;

(2) The Commissioner of Education must provide for effective participation of private school children in the programs funded under this title in any State that does not substantially or cannot legally provide for such participation;

(3) State Advisory Councils must be certified by the Commissioner and must hold at least one public meeting a year; and

(4) The Commissioner is authorized to use 15 percent of the funds available to the States to fund special innovative and exemplary

> programs and projects which hold promise of making a substantial contribution to the solution of critical educational problems common to all or several States.

The Congress of the United States mandated, further, as a part of ESEA Title III that not less than 15 percent of the amount which a State receives to carry out its State Plan Program shall be used for special programs or projects for the education of handicapped children. Additionally, at least one member of the State Advisory Committee must represent the concerns of handicapped children.

The above changes are reflected in this administrative manual. (See Authorizations for ESEA Title III in Appendix F.)

CHAPTER TWO

STATE PLAN ADMINISTRATION

I. ELIGIBILITY FOR PAYMENTS

A "State plan" is a document, issued in lieu of a contract, which serves as a legal basis for the State's participation in a Federal grant program. Specifications for a State plan which result in a high quality of planning and program management from an agency of State government are not easy to prepare. This is particularly the case when considered in light of the fact that any State educational agency may have as many as 12 such plans to develop and monitor in order to qualify for federally appropriated funds.

In recognition of this situation, the Department of Health, Education, and Welfare with strong endorsement of the President has launched a new program for dealing with State planning and State plans. This new program envisions less emphasis on the State's preparing, and the Office of Education's approving, a detailed description of the manner in which the program is to be conducted. More emphasis is now placed upon the State's developing a contemporary dynamic process for planning, evaluating, and managing federally-supported educational programs. The State plan becomes a set of assurances; except when otherwise required by law, certain provisions which a State is legally bound to follow in the administration of a program must be set forth in the Plan on an annual basis. It does not reduce the requirement for a State to develop a thorough and complete plan or to present such a plan in writing. The plan serves as a guide in the administration of any federally supported program. This State-developed management plan will be available and on file for any authorized person to review at any time.

Title III of the Elementary and Secondary Education Act of 1965, as amended, authorizes payments to States for the purpose of carrying out an approved State plan.

A. Submission of the State Plan

Any State desiring to receive payment for any fiscal year to carry out a Title III State plan shall submit, to the United States Commissioner of Education, a State plan at such time and in such detail as the Commissioner may deem necessary. Such a plan must satisfy all requirements of the Act and the Regulations.

The State plan shall give the official name of the State educational agency which will be, either directly or through arrangements with other State or local public agencies, the sole agency responsible for administering the plan. The State plan shall also (1) set forth the authority of the State educational agency under State law to submit the plan and to administer and supervise the programs set forth therein; and (2) set forth the administrative organization and procedures of the State educational agency staff responsible for administration of the State plan, and the qualifications of all staff members involved in the administration of the State plan.

The officer or officers of the State educational agency who will have legal authority to receive all funds granted to the State and to authorize their expenditure or transfer of local educational agencies shall be designated in the State plan. The State plan shall also set forth the fiscal control and fund accounting procedures under which the designated officer or officers will assure proper disbursement of and accounting for Federal funds paid to the State.

B. Effective Date of the State Plan.

The effective date of the State plan or any amendment thereto shall be the date on which such plan or amendment is received by the Commissioner in substantially approvable form, but no earlier than July 1 of the fiscal year for which the plan or amendment is submitted. The administration of the Title III program shall be kept in conformity with the approved plan.

C. Amending State Plans

Whenever there is any change in the content or administration of the program, or when there has been any material change in pertinent State Law or in the organization policies, or operations of the State educational agency affecting the program under the plan, the plan shall be appropriately amended. Any amendments should be accompanied by a certificate of the State Attorney General or other State legal officer.

The State plan and each amendment thereto shall (1) include as an attachment a certificate by an officer of the State educational agency authorized to submit the plan to the effect that the State plan or amendment thereto, has been adopted by the State educational agency and that the State plan, or plan as amended, will constitute the basis for operation and administration of the Title III program; (2) include as an attachment a certificate by the State Attorney General or other appropriate State legal officer to the effect that the State educational agency named in the plan is a "State educational agency," that it has the legal authority ascribed to it in the State plan, and that all the provisions of the State plan can be carried out in the State; and (3) include as an attachment the comments, if any, of the Governor of the State concerning coordination of Title III programs and projects under the State plan with other State and Federal programs and projects; or a statement from the chief State school officer that the Governor has reviewed the plan but no comments were made.

Four copies of the State plan, including two copies with original signatures by appropriate, authorized State officials, must be submitted annually by the announced dates to the Division of Plans and Supplementary Centers, United States Office of Education, 400 Maryland Avenue, SW., Washington, D.C. 20202.

D. Calendar of Dates for Submitting Material to O.E.

	Name of Report	Number of Copies	Date due in USOE
1.	Certification of Council	1	April 1 (of each fiscal year.)
2.	State Plan	4	April 1 (of each fiscal year.)
3.	State Plan Amendment	4	Allow 30 days for OE to process)
4.	Annual Report	4	October 1 (after the end of each fiscal year)

II. STATE ORGANIZATION AND FUNCTIONS

A. State Advisory Council

1. Establishment and Certification

Each State desiring to receive payments under Title III of the Act for any fiscal year shall establish a State advisory council which is appointed by the State educational agency. The State advisory council must be representative of the cultural and educational resources of the State and of the public, and include persons representative of (1) elementary and secondary schools, (2) institutions of higher education, (3) areas of professional competence in dealing with children needing special education because of physical or mental handicaps, (4) areas of professional competence in guidance, counseling, and testing, and (5) children from low-income families and other low-income individuals.

The Chief State School Officer and members of the State educational agency are ineligible to serve on the State advisory council either as chairman or as voting members.

The State educational agency shall certify the establishment of, and membership of, its State advisory council to the Commissioner at least ninety days prior to the beginning of any fiscal year in which the State desires to receive a grant under Title III of the Act and these regulations. The certification shall include the name, education, experience, and current position of each person serving on the State advisory council and shall specify which interest each person represents.

2. Functions

a. The functions of the State advisory council shall include:

(1) Advising the State educational agency on the preparation of, and policy matters arising in the administration of, the State plan and in the

development of the policies and procedures required by these regulations, including the criteria for approval of applications under the State plan; (2) reviewing and making recommendations to the State educational agency on the action to be taken with respect to each application for a grant under the State plan; (3) evaluating programs and projects assisted under Title III of the Act; and (4) preparing and submitting through the State educational agency annual reports of its activities, recommendations, and evaluations, together with such additional comments as the State educational agency deems appropriate, to the Commissioner and to the National Advisory Council on Supplementary Centers and Services.

b. The State advisory council shall meet and select a chairman from its membership within thirty days after certification has been accepted by the U.S. Commissioner, and shall meet at such other times throughout the year as may be necessary to fulfill its functions. The time, place, and manner of such meetings shall be determined by the council, except that it shall hold not less than one public meeting each year at which the public is given opportunity to express views concerning the administration and operation of Title III of the Act.

c. The State advisory council shall be authorized to obtain the services of such professional, technical, and clerical personnel as may be necessary to enable it to carry out its functions and to contract for such services as may be necessary to enable it to carry out its evaluation functions.

3. Support Staff

Staff members made available to assist the State advisory council may be employed on a full or part-time basis and may include consultants highly-trained in educational areas such as evaluation and statistics, administrative assistants trained in data collection, editorial assistants, and clerical help. Council members ordinarily will serve on a part-time basis; however, a full-time person may be employed to serve in the capacity of Executive Secretary.

4. Report of the State Advisory Council

A report of the Council's activities, recommendations, evaluations, and additional information deemed appropriate by the State educational agency, shall be prepared and submitted by the Council to the Commissioner and to the National Advisory Council. The time, format and details of this report shall be prescribed by the U.S.O.E. This report will be submitted, together with the Annual Report, to the U.S. Office of Education. (See Chapter FIVE-Reporting Requirements for State Educational Agencies.)

B. State Agency Organization and Functions

1. Organization of State

The State plan shall set forth the number, types, functions, and qualifications of all staff members required for the administration of the plan, and shall describe the organization of the agency with regard to administration of the Title III program. If State statutes or regulations establish such positions and give such information, the plan shall so state.

Each State must assume full responsibility for monitoring, evaluating, and disseminating information about each project in the State without regard to which agency was granted funds for a specific project's operation.

Staff Needs. The State educational agency staffing patterns for the administration of the Title III State plan will vary from State to State. The number of additional staff members needed will, of course, depend upon the amount of the allotment, the competencies of the present staff, and the kind of program to be developed within the State. In States where small members of projects will be administered, additional staff members may be recruited on a part-time basis, and regular staff members in the agency may be called upon both for service functions and for administration, depending upon the need for their particular proficiencies.

In addition to a full description of staffing patterns for the efficient administration of the State plan, appropriate organizational charts may be included as an appendix to the plan.

2. Staff Functions

In determining staffing patterns, the State agency should consider carefully the various staff requirements in carrying out the following functions:

a. Program Coordination

A staff member to oversee the total program and to coordinate the activities of the advisory council and the panel of experts with those of the State agency staff will be needed. This person will be responsible for the establishment and management of the staff serving the State advisory council as well as the Title III State agency staff. He will have the responsibility for implementing the program in the direction that has been decided upon by his professional staff and the advisory council.

b. Program Development

Personnel with expertise in such areas as early childhood education, education of children from minority groups, education of children from rural areas, education in inner cities, treatment of potential and actual dropouts, education of the handicapped, language arts, reading, bilingual education, individualized instruction, curriculum development, and in other areas identified by the statewide assessment of needs will be needed. Such experts may already be on the staff of the State agency and, if so, will be called upon as needed. Such persons may be employed as full-time staff members to serve the Title III program, or may be employed on a part-time basis as needed. Their assignments might include providing consultation to local educational agencies in the development of projects, planning, developing, and conducting inservice training programs, gathering and disseminating information concerning research and innovations in their field, and serving in an advisory capacity to projects in operation.

c. Project Proposal Review

Personnel with expertise in all educational areas represented by projects submitted will be needed for the review of proposals. Reviewers should be able to judge, in their areas of specialization, whether a project is an innovation in the field, whether the available research has been studied, whether the idea is basically sound, whether the consultants named are competent in this field, and whether the project is economically feasible.

d. Program Operation

Personnel will be needed to monitor and supervise the operation of approved projects. Projects may be assigned to personnel on the basis of area of specialization or, in the case of large States, on a regional basis. Such personnel will assist project directors in carrying out the proposed program.

e. Evaluation

The requirements for evaluation both of local project design and of the program at the State level necessitate staff with expertise in this area. Evaluation specialists may be contracted on a team basis, or they may be a part of the staff. Their functions will be to assist local agencies in preparing evaluation designs and in evaluating projects at regular intervals. In addition, they will be called upon to evaluate the effects of the total Title III program.

f. Dissemination

Personnel with experience in communications will also be needed on the staff. Such persons will be responsible for disseminating information about the preparation and submission of projects, keeping the local school districts informed concerning innovations in education, serving as a clearinghouse of educational information, assisting local educational agencies in their dissemination efforts, informing school districts and other audiences in the State of successful programs, and maintaining an internal communications system in the State educational agency.

g. Grants Management and Finance

Grants administration personnel who can maintain such fiscal control and accounting procedures as may be necessary will be needed to assure proper disbursement of and accounting for Title III funds paid to the State. Their functions will include working with program officers to examine items of the project budget and providing technical advice and assistance to local educational agencies in the areas of budgeting, fiscal control, and accounting. Grants administration personnel will also develop a system to insure that fiscal data is accessible to appropriate units in the State agency.

h. Clerical

A sufficient staff will be needed to file and handle all records concerning each project. Other assignments will include mailing of projects to reviewers, transmitting routine notifications, and handling correspondence and schedules for various staff members.

3. Professional Development Activities

The State educational agency shall establish procedures which may be utilized for appropriate professional staff development of State and local administrative, instructional, and supporting personnel involved in developing, conducting, or monitoring programs or projects under Title III, including those personnel involved in projects for the handicapped.

Staff development programs are essential to the effective and efficient administration of the Title III program. Although the specific activities will be dependent on individual State staff training needs, the following are examples of criteria that could be used to determine the adequacy of professional staff development activities at the State level under Title III:

a. Extent to which the SEA is committed to providing the Title III staff with development opportunities;

b. Extent to which development opportunities show clearly stated objectives which are directed toward the needs of the Title III staff;

c. Adequacy of the total staff development program;

d. Extent to which the development program will be evaluated to determine its effectiveness; and

e. Extent to which the development program will involve appropriate State staff in addition to those working under Title III.

4. Documentation of Results of Work Performed by Consultants

One of the major purposes of Title III, ESEA is to stimulate the development of exemplary elementary and secondary school programs which will serve as models for regular school programs. Therefore, documentation of consultant services and their effectiveness must be included in the grantee's records so that other LEAs and interested persons can review and obtain the benefits of such information.

Since substantial consultant costs have been incurred by many Title III projects, it is important in the interest of effective control and better evaluation of consultant services that reports of such consultations be required and that results of consultations be documented in the grantees' project records. It is recognized that the selection of consultants by grantees may vary by purpose as well as by the length of time a consultant is hired, and that these matters have a bearing on the extent to which the consultations can be documented. For example, one consultant may be hired for the evaluation of a Title III project and receive fees for several days' work; whereas another consultant may visit a project for one day only to discuss strategy and problems with staff members. In the first example, the grant records must include a formal written report from the consultant (evaluation). In the second example, the grantee must prepare a memorandum concerning matters discussed with the consultant and must file the memorandum for the record.

C. Funds for State Educational Agency Activities

From its allotment under section 302 of the Act for any fiscal year, the Commissioner will pay to each State educational agency, either in advance or by way of reimbursement, amounts equal to the sums necessary for current expenditures by the State under an approved State plan for (1) grants to local educational agencies for supplementary educational centers and services, and (2) guidance, counseling and testing programs.

The Commissioner will pay additional sums to each State educational agency receiving funds under subsection (a) for administration of the State plan, activities of the State advisory council, and evaluation and dissemination activities. In no case will the amount paid to a State for such activities for any fiscal year exceed an amount equal to 7-1/2 percent of its allotment for that fiscal year or $150,000 ($50,000 in the case of the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands), whichever is greater. Of the 7-1/2 percent available for such activities during any fiscal year, the amount paid for administration of the State plan shall not exceed an amount equal to 5 percent of the State's allotment for that fiscal year or $100,000 ($35,000 in the case of the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands), whichever is greater.

III. STATE PLAN PROGRAM

A. The State Educational Agency as Facilitator of Educational Change

One of the primary functions of the State educational agency is to effect change in education which is relevant to valid educational and social goals. The Title III Program is a vital part of the State agency's effort to effect such change in schools throughout the State.

A recent study of change in public school districts indicates that there are three essential conditions for the adoption and continuation of innovative programs. In the words of the investigators, these essential conditions are as follows:

Initiating mechanisms, that is the continuing flow of new knowledge into the school district from outside sources. This new knowledge may flow through print or other mass media, through training programs, through professional meetings, or through interpersonal communication with persons outside the school district.

Sustaining mechanisms, or the capability of the school district to respond to and act upon such new knowledge. These mechanisms are within the school district, itself, and are relatively impervious to manipulation by outsiders. One of the most powerful internal conditions influencing the ability of the school district to change is the degree of commitment and support for high quality educational programs within the community. Another very powerful factor is the degree to which the school district demonstrates "openness," or willingness to perceive problems and to make use of information from outside sources. A third powerful influence is the degree to which there is open communication by administrators and teachers about task-related matters. Yet another powerful predictor of innovativeness within the school district is the degree of flexibility there is in the school budget. Granted, a well-financed school is more likely to be innovative than one which is poorly financed, but a well-financed school with a "locked-up" budget is usually less innovative than a poorer school district capable of reallocating resources as needed during the trial of new practices.

Performance feedback transmissions, which are dependent on the clarity and measurability of objectives of the school district and the amount and clarity of communication about the degree of goal attainment within the schools. Clearly related to this, of course, are similar communications about the effect of any trial innovation on goal attainment.

From this conceptualization, it is evident that an "outside agency," such as a State educational agency or the U.S. Office of Education, can play a highly significant role in communicating new information to school districts, regardless of any other conditions for change.

According to the literature (largely empirical) on adoption of innovations, rational adopters of innovations tend to go through a series of five stages culminating in adoption. Rejection of an innovation may occur at any point in the process. These stages are as follows:

Awareness, the point where the potential adopter learns of an innovation, or of some alternative to his current practice;

Interest, the stage in which the more cosmopolitan and innovative of the potential adopters seek out additional, more technical information about the innovation;

Evaluation, the stage during which the potential adopter makes an "in-the-head" assessment of the relevance of the innovation to needs, to apparent advantages, and to potential problems for him;

Trial, the stage in which the potential adopter (again, a smaller number of the more innovative members of the social system) makes an actual field test of the innovation on a limited basis. The least innovative members of the social system, the "laggards," as the author calls them, are likely to omit this stage, since they can see the benefits that adopting the innovation have brought to the majority of their peers who have already adopted the innovation.

Adoption, the final stage, when the adopter decides to make full-scale continuing use of the innovation until it is replaced by a better program.

Awareness of new practices and materials usually comes from exposure to the mass media; and, as might be expected, the more innovative and cosmopolitan members of a group are the first to become aware, since they tend to read more, to reach out toward outside information sources, and generally to look outside their own social system.

Those who are sufficiently aware and interested to seek more information about the innovation then turn toward more technical information sources which provide more detailed information, such as government bulletins, integrative reports, or expert advice. The more innovative the adopter, the more likely he is to use technical information sources; the less innovative, the more heavily he will rely on interpersonal communication, particularly with individuals he knows and believes to have more expert knowledge.

During the pre-trial evaluation stage, all potential adopters rely most heavily on interpersonal communication with earlier adopters. The very early adopter may use expert consultants, or change agents such as the county agricultural agent, but the important point is that during the pre-trial evaluation stage, adopters prefer to learn from people rather than from documents.

In both trial and adoption stages, the direct, first-hand experience of an adopter and the advice, assistance, and encouragement of expert consultants or even earlier adopters are the most important information sources.

Attractive color brochures and individual reports of projects, so popular among most educational dissemination personnel, are useful for little more than making others aware of the existence of an innovation. Such communications are unconvincing for those same potential adopters as they move closer to evaluation, trial, and adoption of the new practice, and may even mislead naive persons.

Educational changes are rarely limited to "thing changes," but are usually "people changes." Whereas most innovations in medicine and industry simply displace one product or practice with a newer, better one, in education the central changes occurring in most innovations--team teaching, nongraded organization, even new curricula--are changes in role perceptions, attitudes, and behaviors of the adopters or practitioners. Quite clearly, a teacher who sees no change in her role, or who does not change her behavior when she leaves the self-contained classroom to engage in team teaching, is going to be very frustrated, very ineffective, or both. Some of the major problems in the instructional use of television have resulted from the fallacious assumption that television can do all sorts of wonderful things without any change in the operation of the school or the behavior of the teacher.

The second difference between education and other fields is that most educational changes are not simple adoptions of a solution developed elsewhere, but are adaptations of the school to the innovation and of the innovation to the school. This means that it is vital to know both the essential conditions for the innovation to succeed and the unchangeable constraints within the school, so that any adaptation made in the innovation may actually result in educational improvement, rather than in maladaptation.

If a State educational agency is to facilitate the spread of improved educational practices, it is essential that it tailor its strategy and activities to the actual conditions and constraints in the local school districts.

Perhaps the first immutable constraint that influences educational change is the pluralistic nature of American public education. The pluralistic system of American education appears to conform to American values, but it does make the problem of system-wide change slower and more difficult. The pluralistic system dictates closer working relationships and more explicit differentiation of functions at the State and national levels.

A second major constraint to educational change in the United States is the diffuse, inexplicit nature of educational goals. One of the most powerful predictors of adoption of an innovation is the relative advantage of the innovation over current practice. When the goals of an organization are not stated in clear, measurable terms and when there are conflicts among goals, it becomes difficult to identify any clear advantage in any single practice over any other. This problem suggests the need for more precise, operational, and attainable educational goals if the pace of educational improvement is to be accelerated. The State educational agency is the most appropriate and likely source of leadership for overcoming this constraint, but it should be recognized that explicit goal definition is, in itself, an educational innovation. As a result, a slower spread of educational improvement than improvement in other areas of human endeavor may be anticipated.

Still another constraint in educational innovation lies in the fact that there is no single locus for making and implementing educational decisions. An innovation is likely to be adopted if the adopting unit--be it a person or an organization--perceives greater relative advantage through adoption of the innovation than in continuing current practice. In most areas of endeavor, it is possible to identify a single decision-making locus: in agriculture and medicine, this locus is a point, the individual farmer or physician; in industry and in military organizations, the decision locus is a line, the command or managerial line. Compare this with education, where most changes of any significance involve a number of congruent decisions in different loci: policy decisions by the school board, management decisions by superintendents and principals, subject matter decisions by supervisors, and implementing decisions by each classroom teacher involved. However, one fact stands out; unless the superintendent, who can allocate resources and provide rewards for innovative behavior, is supportive of an innovation, it will not be installed. Thus, it is essential that superintendents of schools be provided information and assistance which will help them make rational choices among alternatives. Efforts must also be made, of course, to communicate with and assist the decision makers and implementers at other levels, who are necessary participants in the adoption process. If such assistance is not provided, the superintendent may believe he is leading a parade down the street to improve educational practice, only to find that even the band is not following him.

The State educational agency possesses certain capabilities which assist the agency in facilitating educational change. Underlying all other considerations, the statutory position of the State as the responsible agent for education in the United States dictates a leadership role in educational improvement by the State educational agency. Two basic implications of this central role of the State agency in determining and implementing educational policy deserve explicit discussion. First is the obvious fact that quality education requires a certain critical mass of resources if there is to be real equality of educational opportunity for all our children. With the wide divergence in tax base among school districts, the State is the most natural governmental unit to serve as the planning base for education. Even when individual needs and characteristics of local schools are honored. Second, local school programs must necessarily reflect the prevailing norms of the local school district, with the possibility that the needs of all members of the community will not be recognized and dealt with. For example, there are communities where 85 percent or more of the public school graduates go on to higher education. The objectives and curriculum of the schools in this type of community are likely to stress academic excellence over all other possible educational values. Yet the 15 percent minority in that community may well be part of the majority of public school students of the entire State. The only assurance that their needs will be served equitably is the mediating influence that State educational policy may have on local norms.

A second major resource of the State agency is its unique position to provide educational leadership in all public schools. Perhaps one of the most salutary changes in American education in the past few years has been the degree to which State agencies have recognized and assumed their responsibility for a leadership role. This role is a natural one, both because of the State's position as the responsible governmental agent for educational policy and because it is in a more favorable position than individual school districts to draw upon external resources for educational improvement. The degree to which the State agency is assuming its leadership role is reflected primarily in the number, quality, and character of its communications on professional matters to educators, the public, and the legislature which it serves.

A third major resource of the State agency as a facilitator of change is its unique position as a source of expert advice and staff service to the legislative and executive branches of the State government. There is evidence that State legislatures view the State educational agency as a major, in many cases, the major, source of assistance in formulating educational policy. Through the types of communications it provides to the Governor and the State Legislature, the State agency can assure the development of sound, rational State policy on education and provide the intellectual basis for the policy makers to make fiscal and other decisions which will permit implementation of that policy.

A fourth unique resource of the State agency in facilitating change is one which is usually perceived as an inhibitor of educational change--its regulatory function. Although the regulatory function can be performed in a manner which is deadening and inhibiting, it can also be used as a means of encouraging educational improvement. Assuring the presence of qualified teachers is a regulatory function but one that should assure better, not worse, education. If certification requirements are used as a means of preventing trial and assessment of staff differentiation in the schools, this can inhibit educational change; however, such inhibition results more from the way the regulation is implemented than from the standard, itself. The regulatory function can also be used to encourage more explicit statements of educational goals at the local level and to assure justification of proposed new courses of action. If exercised in this way, it is possible to develop procedures for regulating educational improvement rather than for blocking it and to have guidelines for further waiving of regulations under appropriate conditions, or even for amendment of regulations in a manner consonant with changing educational needs.

Finally, of course, the role of the State agency in educational finance should be a powerful instrument in fostering educational change. The State's financial authority will not foster educational change, however, if all financial transactions between State and local educational agencies are based on formula grants. Most innovation involves some degree of risk taking. It requires the potential for acquiring or reallocating money for trial and installation of changes. The State can facilitate change by providing risk capital, fiscal flexibility, and rewards for efforts to improve educational programs.

The following chart depicts the relationship of the above capabilities to the conditions essential for change in local schools.

State Educational Agency Resources and Essential Conditions for Change

	Conditions for Change in the Schools		
SEA Resources	New Knowledge to Schools	Capabilities of Schools	Performance Feedback in Schools
1. Statutory Role			
2. Communication - Leadership			
3. Staff Service to Legislature and Executive			
4. Regulatory			
5. Finance			

In the function of transmitting new knowledge to schools, the State educational agency can have the greatest and most immediate impact on local change processes, first, because of the State agency's intermediate position between local and national resources and, second, because such a function can be performed independently of the local district.

To perform adequately in transmitting new knowledge to the schools at times and in forms which are understandable and usable, the State agency must first have the capability of retrieving, processing, and communicating a continuously growing body of research, theory, and reports of good practice in education. This can be done best by the establishment of a State agency information center which links distant resources to local needs. Without such a center, State dissemination efforts can only be intermittent, unfocused, and partly effective. Unfortunately, this service is not being performed adequately at present. In a recent study of educational information services in education, it was found that only 13 State educational agencies operate any kind of systematic information service.

In designing a State educational information system, the first consideration is the behavior of the educational community as information users. To begin with, educators, like practitioners in other fields, tend to be apathetic about seeking out new knowledge. There is evidence that practitioners make first and most frequent use of the most accessible information source, even when they believe that the source does not provide very good information. Moreover educators, like other groups, prefer interpersonal communication to print or other mass media. Indeed, the most likely effect of providing teachers or administrators vast quantities of materials to read is that they will ignore what has been provided.

Therefore, unless comprehensive, up-to-date, and screened information is provided to educators, rapidly and with minimal effort on their part, educators probably will not use any information service.

The following table relates each stage of the adoption process to the information needed at that stage.

Information Requirements for Adoption of Innovations

Stage	Questions	Needed Information
Diagnosis	How am I doing?	Current performance data
Awareness	How can I do better?	Alternative solutions to my problem
Evaluation (Pre-trial)	Will it work for me?	Settings and conditions where the innovation succeeded or failed
Trial	How can I do it?	Sources of expert assistance. How to adapt to local conditions
Evaluation (Post-trial)	How did I do?	Comparative effectiveness of old and new practices
Installation	How must I change?	Needed resources and actions to make the innovation work operationally
Maintenance	How do I continue?	Resources and actions needed to continue and modify the innovation.

If the State agency is to facilitate effective utilization of knowledge to improve education, it must tailor information both in format and content to the information requirements of persons who have different educational roles and who are at different stages of the adoption process. Unless the State's information program is based upon continuing assessment of the characteristics and needs of its users, it will be a waste of money and effort.

Since we know that community concern for and participation in educational dialogue enhances the innovativeness and responsiveness of schools, the State agency, in its leadership role and in its provision of staff services to elected State officials, should place emphasis on the need for effective two-way communication between the school and the community and should in time look toward regulations which mandate increased efforts toward such communication.

In the State agency's administration of both Federal funds and State educational funds, it may be possible to provide "risk capital" for innovative programs as well as incentives for local schools to seek changes which lead to educational improvement. In such programs, it is highly advisable to require commitment of local funds to the innovative effort from the very beginning, with increasing allocation of local resources as the project progresses. Data in both education and other fields show that an innovative program which involves the use of local monies from the beginning is more likely to be installed than one which receives full funding from outside sources.

Again, since openness to new knowledge and to statements of need are good predictors of innovativeness, encouragement and recognition of such openness by State agency personnel may do much to increase a school district's innovativeness.

Both in its leadership role and in its regulatory role, the State educational agency can enhance improved performance feedback transmissions within and between school districts. As part of its leadership role, the State agency should communicate to local districts means of defining goals operationally and methods of assessing the degree of their attainment. In some cases, it may even be possible to stimulate statewide participation in development of model educational objectives. As a regulator, the State agency may require operational specification of objectives in proposals for Federal or discretionary State funds; it may require by regulation that participation in certain State programs be based upon operationally stated objectives, or it may offer incentives for provision of undisputable evidence of satisfactory performance.

Finally, since evidence of performance is quite understandable and attractive to elected officials, the State agency, itself, should shape its communications to the State legislature in performance-oriented terms whenever possible and should offer assistance in formulation of legislative proposals for improved goal definition and performance assessment in education.

The State educational agency is potentially the most powerful agency for educational improvement in American education. The degree to which it reaches its potential is contingent upon the degree to which it exercises its full resources for facilitating change and the degree to which it bases its efforts on full application of the available body of knowledge on means of spreading and installing educational change.

B. Assessment of Educational Needs

Educational needs assessment is a technique for identifying those educational objectives which most need to be accomplished in a given instructional situation. This concept of educational needs assessment provides for (a) the identifying of a desired learner outcome and (b) the ascertaining of the learner's current status with respect to that outcome. The educational needs constitute the difference between the current status and the desired status. The following illustration represents this concept:

DESIRED LEARNER OUTCOMES	minus	CURRENT LEARNER STATUS	equals	AN EDUCATIONAL NEED

The assessing of educational needs should be learner-oriented, focussing on the behavioral needs of children in the cognitive, affective and psychomotor domains. Such needs assessment is essential to making any significant improvement in educational outcomes and should be carefully planned and implemented with both short and long range objectives.

Planning, Management, and Resources

Planning for a needs assessment is a departmentwide effort. Representatives of all groups of persons who will be users of the needs assessment results, and all persons whose specific skills will be required in conducting the needs assessment studies should participate in the planning.

Sufficient funds should be allocated to adequately accomplish a comprehensive educational needs assessment, and lines of communication and responsibility should be clearly established. Consideration of persons to participate in the planning should include:

1. appropriate representatives of State educational agencies, including persons responsible for administering State and federally-supported programs, and those responsible for administering programs in the education of the handicapped,
2. appropriate representatives of USOE,
3. appropriate representatives of local educational agencies,
4. representatives of professional organizations,
5. appropriate consultants (e.g., university-based evaluation specialists),
6. representatives of school boards of education,

7. representatives of State advisory councils for Title III,
8. representatives of State boards of education
9. appropriate legislators and their staff consultants.

A commitment to the needs assessment and its potential results should be obtained from the Department, the Chief State School Officer, the Title III State Advisory Council and the State Board of Education. It might be desirable to have a Needs Assessment Steering Committee to monitor, review, and revise strategies on a regular basis. Planning should include the means to facilitate reliability and validity checks of data collected and the means to make this data available to decision-makers.

Financial resources necessary for planning and implementing a needs assessment might come from a variety of State and Federal sources in addition to Title III funds. The possibility of a cooperative effort among State educational agencies in planning for needs assessments, including a pooling of financial resources, should be explored.

Other resources contributing to the planning and implementing of a needs assessment should include personnel from various agencies and special ad hoc groups which in the past had been especially concerned with needs assessments, existing strategies used in needs assessments, literature related to the subject, both technical and popular, and existing sources of data. A needs assessment should refer to a variety of data sources, with special attention to timeliness, accuracy, and manageability (accessibility and usefulness) of data.

Special competencies in system design, survey research design, statistics and measurement theory, sampling, and data processing will be necessary in the planning stages. Special competencies in developing behavioral objectives, survey research, statistics, sampling, and data processing will be necessary in conducting the assessment. Particular emphasis should be placed on having the data processing hardware and software necessary for timely treatment of the data.

Strategy

A strategy for a needs assessment should be sufficiently constructed so as to consider all required elements and should include development and/or selection of goals and objectives, design of instruments for data collection, and determination of a means for precise analysis of data. The entire range of the student's achievement in all areas of learning should be included in the assessment of student needs. This would provide for student success as well as student deficiencies. The overall concept of the assessment of the students' educational needs would then consummate the difference between the current status of the learner and the desired learner outcomes. If particularly successful programs can be identified, the assessment strategy might provide alternatives to meet particular needs in a diffusion/adoption process.

The assessment strategy should include both long and short range goals and objectives that are behavioral, measurable, and representative of cognitive, affective, and psychomotor domains. A specification of the length of time required to achieve a specific goal or to reach a given objective and a set of objectives for each activity (time-frame) should be stated. Specific activities should be designed for the achievement of each goal and objective which are sufficiently refined to measure student learning.

State educational agencies that have already established learner goals for their educational needs assessment should use these goals as a basis for developing subgoals and then use learning objectives as a basis against which needs can be delivered. Other States that do not have established learner goals should first establish goals before proceeding with the needs assessment effort.

Some of the educational goals and general objectives of one State educational agency include:

1. Goal: Accumulation of Knowledge

   a. Develop a general education background in oral and written English, in the use of numbers, natural sciences, reading, mathematics, and social sciences.

   b. Develop a fund of information and concepts

   c. Develop a knowledge of political principles and their evolution.

   d. Develop special interests and abilities.

   Objectives Related to the Accumulation of Knowledge

   To develop fundamental intellectual skills:

   a. By learning to get adequate meaning with reasonable speed from printed material.

   b. By learning to spell correctly the commonly used words.

   c. By learning to express facts in reasonably correct and clear language, orally and in writing.

   d. By developing habits and skills in clear thinking.

   e. By acquiring reasonable speed and accuracy in fundamental arithmetical processes and in the ability to solve quantitative problems.

2. Goal: Interrelationships of Peoples

   a. Develop respect for cultural heritages of other peoples of the world.

   b. Develop an appreciation for and an understanding of other people and other cultures.

c. Develop an understanding of political, economic, and social patterns of the rest of the world.

d. Develop awareness of the interdependence of races, creeds, nations and cultures.

e. Develop an awareness of the processes of group relationships.

Objective

To lay the basis for intelligent citizenship:

a. By developing ideals and attitudes favorable to political, economic, and social democracy.

b. By developing appreciative cooperative attitudes toward others of different national and racial origins and to other countries.

c. By gaining an understanding of the simpler facts and an appreciation of community, city, State, and national governments.

d. By acquiring familiarity with and appreciation of the more important facts and lines of development in the history of our nation.

3. Goal - Character Development

a. Develop moral responsibility and a sound ethical and moral structure.

b. Develop an understanding of moral behavior.

c. Develop the student's capacity to discipline himself to work, study, and play constructively.

d. Develop a moral and ethical sense of values, goals, and processes of free society.

e. Develop standards of personal character and ideals.

Objective

To assist in the formation of a high degree of social character and responsibility including moral and ethical concepts, attitudes, and habits.

a. By developing ideals, habits, and attitudes of fair dealing, cooperation, responsibility, respect for the rights of others, self-reliance.

b. By developing prejudices against such attitudes and habits as lack of cooperativeness, excessive selfishness, dishonesty, unwillingness to assume responsibility, etc.

Another State educational agency adopted objectives which include the following:

a. The inquiring mind exemplified by a continuing desire for knowledge, a continuing interest in current problems, and the habit of weighing alternatives and creatively applying them to the solution of these problems.

b. A knowledge of fundamental concepts about the world environment and man's relationship to it.

c. Proficiency in the use of modes of communication.

d. A dedication to the task of improving America, striving for solutions to its continuing domestic and world problems and upgrading the lives of all people.

e. Maintenance of health, achievement of a high level of personal fitness, and the acquisition of wholesome leisure skills.

f. An emotionally stable person.

g. A moral standard of behavior.

h. A knowledge of the inter-relationships of nature and the cultural acts and the ability to utilize all of the senses to make aesthetic judgments about the total environment and to enrich his own life.

i. Information and guidance for wise occupational choice.

Graphic charts published by the Center for the Study of Evaluation, the University of California at Los Angeles are offered only as an example for a structural breakdown in establishing goals with related objectives and are not intended as an endorsement of content. (See Appendix G). Instruments that may have relevance in program evaluation as it relates to needs assessment, and which are keyed to these goals and objectives, may be found in the publication CSE, Elementary School Test Evaluations by the Center for the Study of Evaluation at UCLA.

The strategy should include provisions for collecting appropriate information on specific subpopulations about student learning objectives in three categories:

(1) perceptions of the community (including business and industry) educators, and the learner, with regard to the relevance and importance of these objectives,

(2) criterion-based test instruments to determine the extent to which student learning objectives have been achieved, and

(3) relevant demographic data about the learner.

The strategy should provide for instruments to collect data of three different types: the statements of objectives themselves; the criterion-referenced tests, designed to measure the extent to which the objectives have already been achieved; and instruments designed to measure the perceptions of relevance and importance by different groupings of students and so-called consumers. The needs assessment strategy should include, additionally, provisions for collecting appropriate information on specific subpopulations, rather than for all respondents, regardless of background. Where it is appropriate to do so, data collection instruments should be field tested thoroughly on a pilot basis prior to actual use. The procedures for analyzing data should be thoroughly tested to determine if all data collected can be appropriately utilized and treated.

In collecting data, the specifications of actual procedures used must wait upon adoption of an overall strategy. The analyzing of such data is a highly technical function in statistics and data processing which can be spelled out only after comprehensive plans have been adopted for the needs assessment. Provisions should be made to assure that data collected are manageable and current, and that conclusions drawn from the interpretation of data can be supported.

Both reliability and validity should be built into the strategy design for assessing needs to aid in determining if the State is accurately and consistently measuring what it purports to measure in the needs assessment strategy.

The translation of information into critical educational needs requires a distinction to be made between collecting information to be used in making decisions and between the decision-making process itself. Logical and defensible procedures should be established for determining criticality of educational needs identified by data for the State as a whole and for each district area of the State. It may be that to the development of a strategy for making a needs assessment should be added a strategy for increasing the likelihood that the information will, in fact, be used. To determine which institutions and agencies are the potential users of the assessment results, it is desirable to determine which are responsible for meeting various needs. At the State level, the State educational agency is responsible for providing statewide results to the State Board of Education and, perhaps, for recommending courses of action based on an interpretation of results.

Identification of Critical Needs

The State plan shall describe the critical educational needs in the various areas of the State and describe the process used to determine those respective needs. Such a determination shall be based upon the results of surveys involving objective criteria and measurements.

The following criteria will be used to determine the adequacy of State provisions for the educational assessment of learner needs under the Title III Program and are included here as a guide to States in their development of an effective educational needs assessment program.

ESEA TITLE III
CRITERIA FOR DETERMINING THE QUALITY OF AN EDUCATIONAL NEEDS ASSESSMENT STRATEGY

I. Planning, Management, and Resources

A.__________ The personnel involved in the program are knowledgeable about evaluation, systems design, survey research, statistics and measurement theory, sampling and data processing techniques.

B.__________ Sufficient funds have been allotted to adequately accomplish a comprehensive educational needs assessment.

C.__________ There has been departmentwide involvement in the planning.

D.__________ Lines of communication and responsibility are clearly established.

E.__________ The Department, the Chief State School Officer, the Title III State Advisory Council, and the State Board of Education are committed to the needs assessment and its potential results.

II. Strategy

A.__________ The overall concept of educational needs assessment defines an educational need as the difference between the current status of the learner and the desired learner outcomes.

B.__________ The assessment strategy includes both long and short range objectives.

C.__________ The strategy includes specific activities which have been designed to achieve each objective included in the strategy.

D.__________ The strategy includes a time frame for accomplishing each activity.

E.__________ The strategy is sufficiently constructed so as to consider all the required elements.

F.__________ Student learning goals are established for the purpose of determining children's needs through the educational needs assessment.

G.__________ The student learning goals are behaviorally stated and representative of cognitive, affective, and psychomotor learning.

H.__________ The student learning goals are sufficiently refined to make them measurable objectives for student learning.

I. __________ The strategy includes provisions for collecting data about student learning objectives into three categories:

a) perceptions of the community (including business and industry) educators, and the learner, with regard to the relevance and importance of these objectives,

b) criterion-based test instruments to determine the extent to which student learning objectives have been achieved, and

c) relevant demographic data about the learner.

J. __________ The strategy includes provisions for a data sample from which validity can be determined, i.e., we are measuring what we purport to measure.

K. __________ The strategy includes provisions for a data sample from which reliability can be determined, i.e. we are measuring accurately and consistently.

L. __________ The needs assessment strategy includes provisions for collecting appropriate information on specific subpopulations.

M. __________ The strategy includes provisions to assure that the data collected are manageable and current.

N. __________ The instruments which are designed to collect data have been tested thoroughly on a pilot basis.

O. __________ Procedures for analyzing data have been thoroughly tested to determine if all data collected can be appropriately utilized and treated.

P. __________ The conclusions drawn from the interpretation of data can be supported.

Q. __________ There are logical and defensible procedures established for determining criticality of educational needs identified by data for the State as a whole and for each distinct area of the State.

R. __________ A listing of critical educational learner needs which are representative of cognitive, affective, and psychomotor learning is given.

C. Project Development

By tradition and statute, the State educational agency provides leadership in developing school programs within its State. So it is logical that the State agency, seeing areas of need and potential areas of development within its State, would encourage local educational agencies to initiate innovative Title III project proposals.

In its role as stimulator, organizer, and coordinator, the State educational agency may provide staff, including specialists in all curriculum and service areas, to help local schools develop sound proposals. Title V of the Elementary and Secondary Education Act can help provide the necessary funds if they are requested as part of a general effort to strengthen the curriculum program of the State.

D. Project Proposal Review Process

The State plan shall describe procedures which will be used to approve and disapprove project applications. These procedures will explain the role which the following groups will perform in the review process: (1) State educational agency, (2) panel of experts, and (3) State advisory council. The separate reviews of the State educational agency staff, the State Advisory Council, and the panel of experts will form a composite review for recommendation to the Chief State School Officer.

Review procedures will indicate how the criteria, special considerations, equitable distribution, and other provisions of the Act and Regulations will be applied to the project applications in the review process.

1. Criteria for Review of Project Applications.

a. Innovative and exemplary projects. The State educational agency shall establish the criteria to be used in reviewing project applications from local educational agencies. Such criteria shall be applied in conjunction with the results of the educational needs assessment (Sec. 118.8 (a)); equitable distribution of assistance (Sec. 118.12); special consideration (Sec. 118.13) relating to school districts making a reasonable tax effort and school districts whose proposed projects were planned with Title III funds; participation of private non-profit school children (Sec. 118.15); maintenance of fiscal effort (Sec. 118.17); and percentage requirements regarding the use of funds (Sec. 118.14). Such criteria shall also be applied in conjunction with the special criteria developed by the State educational agency and shall be used to determine the extent to which the proposal includes:

(1) evidence that it is designed to demonstrate solutions to identified critical educational needs and will substantially increase the educational opportunities of children in the area of the State to be served;

(2) provisions for the development of concepts, practices, and techniques which can be adapted or adopted elsewhere;

(3) promising concepts or practices recognized as unique, original, unusual, innovative or exemplary;

(4) concepts or practices which are economically feasible and effective;

(5) evaluation strategies and procedures based on valid methodology which will provide evidence of the extent to which performance of the participants is improved;

(6) performance objectives which are measurable, and appropriate activities which facilitate achieving them;

(7) an awareness of information concerning similar programs, relevant research findings, and views of recognized experts;

(8) provisions for staff with professional qualifications adequate to achieve the project's stated objectives;

(9) provisions for budgeted expenditures for adequate and appropriate facilities, equipment, and materials which show a direct relationship in facilitating the achievement of the stated objectives;

(10) documentation that in the planning of the project there has been, and in the operation and evaluation of the project there will be, (a) utilization of the best available talents and resources and (b) participation of students, teachers, parents, school administrative personnel, private nonprofit school representatives, and other persons including those with low income, broadly representative of the cultural and educational resources of the area to be served;

(11) provisions for dissemination of information about the proposed project which are appropriate and adequate for the area to be served.

In addition to these criteria, consideration must be given in the project proposal review process to the requirement for participation of nonprivate school children under Title III. Additional criteria may be included which are consistent with the objectives of Title III of the Act.

b. Guidance and Counseling. The State educational agency shall establish the criteria to be used in reviewing applications for guidance and counseling programs and projects. Such criteria shall include numbers 4, 5, 6, 7, 8, 9, 10, and 11 in subsection (a) above.

2. Panel of Experts

The State educational agency shall establish a panel of experts consisting of persons who are not officers or employees of the State educational agency or the State Advisory Council, to review all local project applications prior to their approval or other disposition. The State educational agency shall determine the number of experts to be utilized and the qualifications to be required of such experts (including one or more experts in the education of handicapped children and one or more experts in guidance, counseling and testing), and shall establish procedures for selecting the panel.

3. Special Consideration to Local Educational Agencies

The State educational agency will develop criteria and procedures for giving special consideration to applications submitted by local educational agencies: (a) that are making a reasonable tax effort but are unable to meet critical educational needs (including preschool and bilingual education) because of overcrowded, obsolete, or unsafe conditions; or (b) whose proposed projects were planned with funds under Title III of the Act; or (c) both.

Following the application of the requirements listed above, if it is determined that two or more proposals are judged to be of substantially the same high quality, the special consideration requirements will be applied to determine the local educational agencies whose proposed projects will be given the highest priority for funding.

The State educational agency shall not establish methods or procedures which have the effect of excluding the eligibility of any otherwise eligible local educational agency to apply for and receive grants under Title III.

4. Equitable Distribution Requirements

The State educational agency will develop and list criteria in its State Plan to achieve an equitable distribution of assistance under Title III of the Act. Those criteria will be applied only after it is determined that two or more proposals are judged to be of substantially the same high quality. The decision on which proposals will be funded will then take into consideration: (a) the size and population of the State, (b) the geographical distribution and density of the population within the State, and (c) the relative needs of persons in the different geographical areas, and in the different population groups within the State for the types of programs provided for under Title III of the Act, and the financial ability of the local educational agency serving such persons.

Since some local school districts have full-time personnel with expertise in educational research who may devote their entire efforts to the study and to the development of proposals, these districts would be likely to submit high quality proposals. Therefore, it is apparent that equitable distribution cannot be achieved automatically over a short period of time. To help local educational agencies that do not have staffs with needed capabilities, States might wish to implement procedures such as the following:

(a) Provide a team of consultants either from within the State agency or from some other agency to help local educational agencies in particular regions.

(b) Fund planning grants which would provide local educational agencies with research teams that could offer intensive inservice training in new educational ideas to local staff members.

(c) Conduct local and regional workshops at frequent intervals for school personnel on such topics as translating educational research into practice, solving problems in curriculum change, examining successes and failures in initiating innovations, and studying evaluation designs and methods.

E. On-Site Evaluation of Projects.

The State educational agency shall develop procedures and criteria for the on-site evaluation, at least annually, of all Title III projects in the State.

Such procedures shall indicate the role of the State educational agency staff in the evaluation process and the relationship between its functions under this subsection and the functions of the State advisory council. Such procedures shall also provide for incorporation into the affected projects of recommendations made as a result of on-site evaluations and follow-up methods to insure proper implementation.

The on-site evaluation strategies should indicate the coordination between these visitations and the State's over-all annual project evaluation as well as the Advisory Council's evaluation of the impact of Title III on the State as a whole.

Evaluative instruments used should be submitted to the State Plans Branch, U.S. Office of Education, 400 Maryland Avenue, SW., Washington, D.C. 20202.

F. Evaluation

1. Introduction

a. Philosophy and Definition

The most successful management of a Title III project, by a director and a team of specialists involves a process of gaining and interpreting specific information which is termed "evaluation." This process enables them to make the most effective and relevant decisions, and thus to provide the best possible assurances for project success by obtaining, maintaining and interpreting accurate, up-to-date bodies of information relevant to project development, project implementation, and project successes and/or failures.

Evaluation may be defined as the process of delineating, collecting and interpreting information for distribution to those involved in the decision-making process.

In delineating information, one should clearly outline and specify the kinds of data being sought in terms of content, scope, reliability, validity, and appropriateness and relevancy of source. In collecting information one should gather and compile all available data from established parameters with precision and in usable form. The interpreting of information gathered involves explaining the statistical and educational significance in a form that is understandable by those to whom the report is directed. Distributing this information entails providing appropriate and necessary written reports to those involved in the decision-making process.

b. Overview

An integral part of the overall program design of a Title III project should be the development of a comprehensive evaluation plan to assess the degree to which the project objectives have been achieved. The purpose of such evaluation is to determine how well each component and the entire project function within the established framework of time, cost, and objectives. A will planned and operated evaluation system should result in information which communicates clearly whether the standards of performance specified in the objectives have been met to a degree greater than, equal to, or less than the predetermined standards and why. The task of designing the evaluation plan is both complex and multifaceted. Each component and the total project will require the evaluation of product, operational process, and management process goals.

One primary management responsibility is that the project director must oversee the design and implementation of the evaluation plan. Many local educational agencies will find it necessary to hire consultants or to seek the help of an outside technical assistance group for the planning, installation, or operation of the evaluation system, particularly if the program requires newly developed instruments and/or techniques.

2. Purposes and Objectives of Evaluation

a. What Is to be Evaluated

One approach to evaluation includes: Baseline Evaluation, Process Evaluation, and Product Evaluation.

Baseline Evaluation may be defined as the delineation, collection, interpretation and distribution of all information needed (1) to establish data bases which provide input into needs assessment activities (those activities which result in a clear knowledge of the educational needs of the agency in which a Title III project will be developed); (2) to provide a benchmark against which to measure future successes and/or failures of project activities; and (3) to furnish data for identifying, describing and defining the context within which change is expected to occur as a result of project activities. In effect, Baseline Evaluation provides that kind of information without which it would be impossible to measure any progress made toward meeting project objectives. Such information describes conditions as they exist before project treatment; and unless these conditions are accurately described before project implementation, it will be impossible to describe changes effected by project implementation. Baseline Evaluation is, therefore, essential to the overall evaluation process; and every care should be taken to insure that information gained during the Baseline Evaluation process is valid, appropriate and well documented.

Process Evaluation aids management in making day-to-day operational decisions. Essentially, Process Evaluation may be defined as the delineation, collection, interpretation and distribution of information needed to make decisions which will keep project resources and activities directed toward fulfilling project objectives. Thus, Process Evaluation assesses the fulfillment or nonfulfillment of those key steps which, having been carefully planned during project development, are being taken to meet project objectives. The result of such assessment should be information which will permit project management to make decisions regarding subsequent courses of action to be taken, and resources to be used, toward fulfillment of project objectives.

Product Evaluation may be defined as the delineation, collection, interpretation and distribution of information needed to determine (1) whether or not a project objective or set of objectives has been met, and (2) the extent to which a project objective or set of objectives has been met. Information resulting from Product Evaluation should permit project management to gain a clear overview of project progress in terms of project objectives. For this reason, due consideration from the very outset of project development should be given to stating project objectives in measurable terms. The less measurable project objectives are, the less probable it will be that effective Product Evaluation can take place, and, unless effective Product Evaluation can take place, project management will have no rational foundation on which to base those key decisions which will affect the success or failure of the project as a whole, as well as the continuation of the project, either in part, or as a whole.

b. Information Needed

Stating major project goals in objective measurable terms is often the most difficult part of an evaluation design. Each major project goal should be broken down into more specific objectives. Specific objectives should be stated for each major project goal and might include: concepts or ideas to be learned; sensitivities and feelings to be developed; ways of thinking to be reinforced, strengthened or initiated, or habits and skills to be mastered.

It is suggested that applicants follow the generally accepted practice of stating specific objectives at the cognitive, affective, and psychomotor levels. Cognitive objectives relate to knowing, comprehending, applying, analyzing, synthesizing and evaluating; affective objectives relate to feeling, valuing, organizing, responding, etc., and psychomotor objectives relate to initiating, manipulating and articulating in a precise manner. Applicants may wish to examine Benjamin Bloom's Taxonomy of Educational Objectives and/or Robert F. Mager's Preparing Instructional Objectives for additional assistance.

c. The Standards for Evaluation

An important aspect of an evaluation design is the identification of specific activities, procedures, or techniques which will be used to attain each specific objective. Techniques should be to the extent possible varied, innovative, and in keeping with the objectives of the proposal.

The specific method and standards for each specific objective to be used in evaluating that objective should also be stated. Examples of evaluative criteria might be: pupil attainment on questionnaires and surveys; teacher attitudes on questionnaires and surveys; pupil scores on paper-and-pencil tests of either the teacher-made variety or the standardized subject matter variety; direct observation of learners; random questioning of students; pre-post testing; and such others.

3. Collecting Information

a. Baseline Data: Available and Required

The first step in collecting information is to obtain the data needed to identify a need, define the problem and suggest directions in which solutions might be sought. The evaluator should indicate whether data currently available in the school system, such as school attendance figures for the previous year, will be used or whether data will be provided through the first administration of the measurement instrument. These data can become part of the baseline data needed for comparisons after the new program has been implemented.

An important step in the baseline data collecting process is an analysis of the basic environmental factors involved, such as: (1) the environment in which the present problem occurs and that in which the proposed solution will operate; (2) the significant elements or variables in the environment or in the program which show promise of producing educational change; and (3) the direction in which the anticipated changes will occur.

The process of establishing baseline data is a task of some magnitude and requires skill on the part of project planners. Questions of appropriateness of objectives, recency of collection, sensitivity or responsiveness to short-term change, reliability and objectivity of data, and comparability of data-gathering situations are some of the considerations which program planners must take into account as they formulate their evaluation designs.

b. Procedure for Data Collection

State the specific activities, procedures, or techniques designed to attain each specific objective listed. The formation of the evaluation design is inextricably linked to the development of performance objectives. If performance objectives have been developed properly both for product outcomes and for operational and management processes, a major part of the task has been accomplished; the expected behaviors, the measurement instruments. The conditions of measurement and the minimum levels of acceptable performance will have been specified within the objectives.

The plan for the collection of evaluation data should cover the appropriate budget period and should include the complete evaluation schedule, the target populations to be measured, those responsible for arranging and administering the measurements, and any conditions of measurement not specified in the objectives. Procedures for the selection and training of testers, observers, or interviewers should be described. Charts and diagrams may prove to be helpful tools in the planning and organization of data collection procedures and in the coordination of these procedures with the plans for periodic reviews of the data by the independent educational accomplishment auditor.

A careful review of the objectives should be made to verify that each one contains the minimum essential elements, and those responsible for designing the evaluation should assist the project planners in strengthening any objective which requires greater specificity, refinement, or the addition of omitted elements.

c. Instruments Required for Data Collection

The evaluation instrument for each objective should be identified and described briefly. Standardized tests, questionnaires, rating scales, interviews, observation schedules, and interest inventories may be among the instruments selected. It is of critical importance that the instruments be matched as closely as possible to the objectives and that the validity and reliability of each instrument have been ascertained prior to its use. If new instruments are to be developed, a plan for their design and pretesting should be included.

The baseline data requirements must be considered as the instruments are selected, since the validity of the evaluation process may be affected if the appropriate prerequisite data on the target population are not secured or available at the beginning of the program. Baseline data on ability and achievement levels, socio-economic status, attitudes, and other characteristics of project participants will be needed in most cases for accurate measurement of the attainment of project performance objectives.

d. Time Lines Required for Data Collection

A calendar should be developed for the evaluation schema that would include the following elements:

Evaluator's report date. The completion date for the evaluation report for each objective should be given.

Date instrument will be completed. If the instrument is to be developed locally, the projected date of completion should be provided.

Scheduled Dates. The dates for the administration of evaluation instruments should be specified.

Schedule. Projected dates of dissemination activities, of evaluation findings, and/or frequency of activities should be indicated.

Recipient/Audience. Projected recipients of the evaluation findings (residents of the target area, school district, professional educational groups, etc.) should be indicated.

The following criteria will be used to determine the adequacy of State provisions for evaluation of the Title III Program and are included here as a guide to States in their development of an effective evaluation program.

TITLE III OF ESEA
CRITERIA FOR DETERMINING THE QUALITY OF A STATE EVALUATION STRATEGY

Definition: Evaluation is a continuous process of determining the extent to which management and program objectives are being achieved.

I. State Evaluation Objectives

A. _____The State evaluation strategy begins with clear statements of performance objectives, i.e., what is to be evaluated, why, and to what extent.

B. _____The list of performance objectives includes at least the following commitments:

1. _____To collect and report annually to USOE the effectiveness of Title III projects on the persons served.

2. _____To collect and report annually to USOE the effectiveness of Title III program on the State-as-a-whole.

3. _____To identify the kinds of evaluative information needed for State management of Title III program and to collect, process, and distribute such information in accurate, timely, and useable manner.

II. Organizing for State Evaluation

A. _____The evaluation strategy shows evidence of active participation by State staff, advisory council members, and representatives from local projects in the planning and development of the strategy.

B. _____The strategy includes appropriate activities and provision for adequate staff to achieve each of the stated evaluation objectives.

C. _____The strategy includes specific plans for training State and local project personnel in evaluation.

D. _____The amount of funds budgeted and time allocated for evaluation activities are adequate to implement the State evaluation strategy.

E. _____The strategy shows evidence that Title III evaluation strategy is coordinated with the State's comprehensive plan for State evaluation of education.

F. _____The strategy shows evidence of utilization of appropriate nontitle III State resources such as State instructional supervisors, State planning and research unit, and State statistical and data processing unit for the evaluation of Title III.

G. _____The State strategy for evaluation defines the responsibilities of the State Advisory Council for evaluation including its line of communication and working relationships with the

State Title III staff, local project staff, and National Advisory Council and provides adequate technical, financial, and clerical assistance to the State Advisory Council to carry out this function.

H. _____ The State evaluation strategy has a built-in provision for the evaluation of its own operation including control points to assess the effectiveness and efficiency of State and local evaluation activities.

III. State Strategy to Evaluate the Effectiveness of Title III Projects on Persons Served.

The State strategy to document the effectiveness of Title III projects on persons served should include at least the following elements: (1) a requirement for local project's annual evaluation report to the State that will provide such documentation; (2) a plan for annual State on-site visit to monitor and audit the project's effectiveness on persons served; (3) a procedure for the collection and validation of such data; and (4) a plan for processing, analyzing, interpreting, and distributing such information.

A requirement for local project evaluation report should include at least the following elements:

A. _____ Performance objectives are stated in terms of what the learner is able to do, how he is to demonstrate what he can do, and the minimum acceptable standard of that performance whether it be in the cognitive, affective, or psychomotor domains.

B. _____ The report should identify the variables that might affect the project outcomes such as: (1) age, sex, socio-economic background of the learner; (2) age, amount of training, amount of experience, enthusiasm, and sex of project staff members; and (3) the learning environment of school, home, and community.

C. _____ Process variables should be identified such as learner and teacher performance requirements, curriculum, instructional materials and equipment, school facilities, and duration and sequence of learner and teacher activities.

D. _____ The report should identify the major outcomes and explain reasons for such outcomes.

E. _____ The report should identify other factors that are crucial to the successful replication of the project.

A procedure for collecting and validating evaluation data should include at least the following elements:

A._____ The strategy includes a comprehensive plan for data collection including a time schedule, identification of sources of information, and a copy of each instrument used, if any.

B._____ The kinds of information to be collected on on-site visits are identified including procedures for data collection and validation, and a copy of each instrument to be used.

The plan for processing, analyzing, interpreting, and distributing evaluation data should include at least the following elements:

A._____ The plan includes a systematic routine for data processing and verification of data.

B._____ The plan includes a comprehensive analysis plan including statistical treatments, if appropriate.

C._____ The plan identifies the users of evaluation information and shows what and when and in what form the information is requested.

IV. Strategy for Evaluating the Effectiveness of Title III on the State as a Whole.

ESEA Title III makes possible a limited but concentrated attack on the State's selected critical educational problems by funding projects in order to demonstrate possible solution strategies. The effectiveness of Title III on the State as a whole is largely determined by: (1) how effectively and efficiently each project achieved its own objectives; (2) how extensively the demonstration was institutionalized in the school district in which it was demonstrated; and (3) how extensively the demonstration benefited other State school districts in solving similar educational problems. The strategy to collect such evaluation information might include the following: (1) a requirement for the local project's evaluation report that will provide such a documentation; (2) a plan for annual State on-site-visit to monitor and audit the project's effectiveness on the State-as-a-whole; (3) a procedure for the collection and validation of such data; and (4) a plan for processing, analyzing, interpreting, and distributing such information.

Requirements for the local project evaluation report include at least the following kinds of information:

A._____ The report should include the project's objectives for effecting institutionalization of their demonstration, the related activities to achieve those objectives, and the extent to which the project's objectives for institutionalization were achieved.

B._____ The report should include information about the extent to which the demonstration benefited other State school districts, if any.

A procedure for collecting and validating evaluation data should include at least the following elements:

A._____ The strategy includes a comprehensive plan for data collection including a time schedule, identification of sources of information, and a copy of each instrument to be used.

B._____ The kinds of information to be collected on on-site visits are identified including procedures for data collection and validation, and a copy of each instrument to be used.

The plan for processing, analyzing, interpreting, and distributing evaluation data to ascertain the effectiveness of the Title III program on the State as a whole should include at least the following elements:

A._____ The plan includes a systematic routine for data processing and verification.

B._____ The plan provides a comprehensive analysis plan including statistical treatments, if appropriate.

C._____ The plan identifies the users of evaluation information and shows what and when and in what form the information is requested.

G. Dissemination/Change Strategies

1. Definitions

For the purposes of State management of Title III, "dissemination" is defined as communications with people about the operation and outcomes of demonstrations of exemplary practices in education. Its purpose is to (a) develop an awareness of, (b) stimulate an interest in, and (c) provide opportunities for personal evaluations of Title III innovations. Its long-term goal is to facilitate the adoption and replication of tested educational innovations in the host school system and other school systems in the State.

In planning State dissemination activities, distinction should be made between the needs of educational practitioners and those of the general public. Information for the public is designed primarily to cause citizen awareness and knowledge of new educational programs, while information for educators provides technical data to make it possible for educators to assess alternative solutions to local educational problems. The latter will rely more heavily upon interactions among professionals and less upon publicity and public relations programs. Though the two information streams may have common data sources and will often intermingle, their form and final destinations must remain distinct in order for each audience to receive the kinds of information needed in forms that are understood.

Section 303 of the Act specifies that the objective of State Title III dissemination activities shall be the adoption of exemplary educational practices demonstrated by the Title III projects. This mandate means that States must assume an active policy of identification of exemplary innovative projects, or components of them, and must undertake a comprehensive program of diffusing the evaluation findings from these programs to other school systems. Thus the success of the State's dissemination activities will determine the success of the ESEA Title III program as a whole.

Through this legislative mandate, accountability has been built into a dissemination program. Such accountability makes evaluation not only important in terms of its own role in program operation, but changes the emphasis in evaluation from the conventional research-design type studies of project outcomes to inclusion of evaluative data covering the context, process, and management of the project.

2. Management Implications

The stress on accountability for the outcomes of the dissemination activities has several important implications for management of the Title III Program and the dissemination efforts, in particular, at the State level.

a. Organizational Position of Title III Program

The location of the Title III Program in the organizational structure of the State educational agency should enhance access by program personnel to central administrative personnel and to the various educational specialists throughout the State agency.

b. Dissemination Personnel

State agency personnel charged with dissemination responsibilities for Title III should have a broad knowledge of innovations in education, an understanding of the total educative process, and a sensitivity to the intricacies of the change process. They should be educators as well as information specialists.

c. Dissemination Objectives

The Title III mandate to disseminate so as to cause the adoption of promising programs requires close attention to the formulation of performance objectives for dissemination activities. Publications, films, meetings, visits, or other activities should be undertaken only when the disseminator has a preconceived idea as to what the behavior of participants should be in relation to causing the adoption of some new practice. Moreover, the disseminator should have in mind an acceptable level of response as a result of such activities. For example, if 100 persons are to be given a demonstration of a successful innovation, an acceptable level of response might be 10 persons requesting further assistance to introduce some aspect of the program in their own schools. Specificity of dissemination objectives also makes evaluation of the dissemination activities easier.

d. Relationship of State Needs Assessment and Dissemination

The Title III dissemination activities should relate directly to the State's critical educational needs as identified by the Title III needs assessment. These needs will help dictate the priority ranking of dissemination objectives.

e. Dissemination Strategies

When developing educational change strategies, dissemination planners need to be aware of the several stages of the change process as described by Everett Rogers and others. As stated earlier, these are awareness, interest, evaluation, trial, and adoption. Most superintendents will not attempt to introduce an innovation unless they have some opportunity for person-to-person or on-site evaluation of the new practice. It is therefore important that the State disseminator accept the responsibility not only to develop an awareness and interest in innovations, but also to provide personalized opportunities for educators to examine and evaluate innovations on-site and in operation.

f. Linkage of Evaluation and Dissemination

A linkage between State evaluation and dissemination efforts should be given management consideration. Since the primary dissemination objective is the replication of exemplary practices, the disseminator needs to utilize information collected by evaluators and to understand the level of validity of that information. Since evaluation findings are useful to the educational community only if they contain the kinds of information practitioners need in order to make decisions about their feasibility for their own schools, planning for evaluation should be coordinated with the planning for dissemination.

3. Nature and Assignment of Dissemination Responsibilities

Although the organizational structures for administering the Title III Program will vary among the different States, attention should be given to the following responsibilities when planning Title III dissemination activities:

a. Organization

If the public information component of the State educational agency is committed primarily to handling the necessary press and speech activities of the Chief State School Officer, the Governor, or the State legislative body, consideration should be given to establishing a separate unit for program dissemination activities. Such a unit might have responsibilities for coordinating all technical information activities in the State including Title III.

b. Information Retrieval

Rapid retrieval of information about research and practice is important to the process of innovating. Therefore, the State should take the initiative to activate a service for Title III applicants and others in the State agency and in school districts who may need information about promising new ideas. Each State should have, in a central location, the ERIC collection of microfiche with personnel assigned to conduct searches on demand. Provision should be made to have access to other information services in the

State, some of which are found in regional centers and on campuses of colleges or universities.

c. Dissemination of Project Materials

Teaching and curricular materials and films developed through Title III projects should be identified, collected and evaluated systematically by the State educational agency. Strategies should also be developed to promote usage of such materials by other school districts in the State. Promoting and facilitating usage may include developing limited copyright arrangements with educational publishers, reprinting by the State educational agency, and other appropriate means such as providing a copy to Xerox's University Microfilm division in Ann Arbor, Michigan for promotion and reproduction.

d. Dissemination of Evaluation Findings

Coordination of evaluation and dissemination efforts must be maintained in order to provide the disseminators with validated findings about exemplary programs for further dissemination within the State and for reporting to the U.S. Office of Education. The U.S.O.E. Publication Preparing Evaluation Reports, A Guide should be used for final reports on projects. Such reports should be sent to U.S.O.E. for inclusion in ERIC according to instructions for the State annual report forms.

e. Technical Assistance to Local Educational Agencies

The State has the responsibility for monitoring all local project dissemination activities to assure that project funds expended for dissemination are used mainly for dissemination in the project area and not, unless authorized by the State, for statewide or national dissemination.

The State also should provide technical assistance to the local educational agencies to assist them in developing dissemination objectives and designing change strategies at the local level so as to influence local adoption of the Title III project at the end of the project period. Toward this end, USOE has supplied each State with a training manual entitled, A Problem Solving Approach to Title III Dissemination, Northwest Regional Educational Laboratory, Portland, Oregon.

The following criteria will serve as a guide for State agency personnel as they work with local projects in developing and monitoring dissemination components in Title III projects.

CRITERIA FOR AN EFFECTIVE, DISSEMINATION PROGRAM AT THE LOCAL LEVEL

I. Planning and Management

A. _____Provision is made for substantive involvement of potential information users in the planning of the dissemination program.

B. _____Provision is made for continuing internal communication among project staff about the project.

C. _____Provision is made to conduct studies to determine mores, economic status, political processes, and social structure of the community.

D. _____There is a commitment to dissemination, as evidenced by identifiable items in the project budget.

E. _____Provision is made for coordination and cooperation with other information services in the school system and the community, including appropriate public media.

F. _____Consideration is given to the means of handling audience responses to communications being planned.

G. _____Consideration is given to the possible conflict between the project objectives and the values and objectives of the school and community.

II. Objectives

A. _____Objectives relate to project objectives.

B. _____They are written and available.

C. _____They specify desired audience reactions.

D. _____They include performance criteria.

E. _____They include time constraints.

F. _____They are feasible in terms of available funds.

G. _____They reflect knowledge of the adoption stages (awareness, interest, evaluation, trial, and adoption) and of the characteristics of the potential adopters (innovators, early adopters, early majority adopters, late majority adopters, and laggards).

III. Personnel

A. _____Project disseminators are knowledgeable about the change process.

B. _____They understand the administrative and instructional processes of education.

C. _____They possess writing and oral communication skills.

D. _____They are skilled in interpersonal relations.

E. _____Their job satisfaction comes through seeing other persons perform and succeed, much in the manner of a good teacher.

IV. Strategies (Approach)

A. _____The approach is that of tact, "soft sell," and objectivity.

B. _____The approach is flexible, reflecting various strategies, viz., research-centered, and cost-benefit.

C. _____The approaches consider all clients in the social system.

D. _____The approach is that of problem-solving and removing blocks to change.

E. _____The techniques are appropriate to the times and conditions, as shown by variability and creativity in the use of committees, conferences, demonstrations, administrative edicts, media and the constructive use of crises.

V. Communications (Messages)

A. _____Communications are based on verified needs for information by clients.

B. _____The selected medium is appropriate for the message and for the intended audiences.

C. _____The messages are adapted to the various stages in the change or adoption process.

D. _____Wherever possible, the messages are designed to solicit feedback.

E. _____They are of good technical quality.

F. _____They relate to decision-making time lines of the project and the school system.

G. _____The messages (including audio visual and written materials) have been pre-tested with appropriate audiences to determine their relevance, clarity, validity, timeliness, and practicality.

H. _____The messages are in a considered order according to priorities as to who should receive them first, second, etc.

VI. Evaluation

A. _____Provision is made to determine and record relative effectiveness of various strategies and communications in order to alter strategies as the situation changes.

B. _____Dissemination designed to encourage the adoption of innovation is based upon objective evaluation data.

4. Provisions for Adoption

A major objective for ESEA Title III will be accomplished when it can be shown that a significant number of adaptations and replications of programs demonstrated by Title III have taken place in the State. In addition, a high proportion of the programs should be continued in substantially the same form by the applicant local educational agency after the period of Federal funding ends.

The State, therefore, should plan activities to facilitate the adoption of projects.

The following criteria will serve as a guide for State agency personnel as they work with local projects in developing and monitoring adoption components in Title III projects.

CRITERIA FOR AN EFFECTIVE ADOPTION PROGRAM

A. _____Activities are planned which orient project personnel to their demonstration function and to their role as catalysts for change in their community and State.

B. _____The data collection plan includes practitioner-oriented information such as cost effectiveness data and context and process information.

C. _____Activities are planned which use project personnel to teach and train potential adopters.

D. _____Activities are planned which identify the potential adopters of projects being demonstrated.

E. _____Activities are planned which identify and describe the formal and informal communications network about innovations in the State.

F. _____The dissemination activities of projects are reviewed to assure credibility so as to not promise more than the project can deliver.

---

5. U.S. Office of Education Dissemination Program

a. National Dissemination Activities

As a result of the increasing partnership between the State educational agencies and the U.S. Office of Education, the Division of Plans and Supplementary Centers will modify and expand its responsibilities for national dissemination of the Title III Program. Plans for national dissemination activities include the following:

(1) With the help of the State, the Division will identify, validate, and encourage the adoption, as appropriate, of innovative and exemplary programs which hold promise of demonstrating ways of meeting critical national needs. This may include publications, films, conferences, and a variety of interpersonal activities,

(2) As part of a continuing effort, the Division will seek State agency cooperation to establish a repository of instructional and curricular materials developed by Title III projects. These include publications, films, and other print and nonprint educational materials. Annotated bibliographies of these materials will be revised annually and distributed to all State educational agencies and other appropriate agencies; and

(3) The USOE will continue to publish pertinent information through ERIC abstracts of all projects approved during each fiscal year.

b. Technical Assistance to State and Local Educational Agencies

In addition to these activities the Division will provide on a selective basis technical assistance to State and local educational agencies to aid them in improving their evaluation and dissemination programs. Technical assistance will be provided through the following activities:

(1) Wherever possible, Division personnel will conduct and participate in State and regional conferences held in cooperation with local and State educational agencies, universities, and other educational and cultural organizations to encourage the development and implementation of effective dissemination strategies at State and local levels; and

(2) Wherever possible, the Division will provide consultative services and conduct workshops to encourage the development of process as well as product evaluation techniques which will provide validated information on project findings for effective dissemination.

The Division will also continue to assist State educational agencies in their dissemination efforts by working to improve State dissemination plans. The following criteria will be used to determine the adequacy of State provisions for dissemination of the Title III Programs and are included here as a guide to States in their development of an effective dissemination program:

CRITERIA FOR DETERMINING THE ADEQUACY OF THE ESEA TITLE III STATE PLAN PROVISIONS FOR DISSEMINATION

I. Underlying Principles

A. _____The dissemination program facilitates desirable educational change through identifying, validating and promoting the adoption or adaptation of promising and exemplary practices operating in ESEA Title III.

B. _____The dissemination program is predicated on the availability and validity of evaluation findings concerning the projects' operation and outcomes.

C. _____ Dissemination activities are related to written performance objectives for selected audiences according to expressed or known needs for information.

D._____Both State and local dissemination programs are based on a knowledge of the kinds of communication channels available and their area of impact (including public media, technical journals or house organs, and other communication channels or decision-maker.)

II. Administrative Considerations

A._____Personnel engaged in the State dissemination process have (1) understanding and experience with the educational process. (2) experience and skills in communication, and (3) knowledge of the complexities of the change process.

B._____The amount of dissemination budget reflects the high priority given this activity by the legislation.

C._____In organizing the dissemination program, the public information activities and the technical or program information activities are adequately distinct but carefully coordinated.

III. Objectives and Activities

A. _____Activities are planned which will retrieve, analyze, and make accessible descriptions and evaluations of project operations and outcomes.

B._____Activities are planned which will cause an awareness and interest in projects on the part of appropriate educators in the State.

C._____Activities are planned which will provide opportunities for educators to examine and evaluate the operating qualities of the innovations in projects.

D._____Activities are planned which provide technical assistance to those who show a desire to install the innovation in their school.

E._____Activities are planned which will inform the general public about innovations being demonstrated through Title III in the State.

F._____Activities are planned which will retrieve and evaluate instructional materials produced by projects, forward significant materials to USOE for ERIC and other systems, and which will disseminate them appropriately within the State.

IV. Evaluation

A._____Dissemination plans include provisions for receiving feedback from communications for purposes of evaluating their impact.

B._____There is evidence that activities are planned to insure that evaluation designs of local projects will produce information needed for dissemination locally and statewide.

6. State Educational Agency Copyright Provisions

Each State educational agency should develop its own copyright procedures for the development, publication and dissemination of materials under the Title III program. The U.S. Office of Education copyright guidelines (which appear in Appendix C) may be used as a resource document.

As of June, 1970, the U.S. Office of Education copyright program was revised to give Federal grant programs greater flexibility in their development, publication, and dissemination of materials. The USOE copyright program has two primary purposes--to assist in maintaining the integrity of materials in the process of development, testing, and evaluation, prior to commercial dissemination, and to facilitate the commercial dissemination of materials after they are developed.

The major differences between the new copyright policy and the old policy are as follows:

a. Emphasis on public domain discarded. Under the previous guidelines, an attempt had to be made to obtain commercial dissemination without copyright as a precondition to seeking authorization for dissemination under copyright. That precondition no longer exists.

b. Copyright royalties shared with developers. Any contractor or grantee which is a nonprofit organization may retain a minimum of fifty percent of copyright royalties formerly payable to the Government. Under the previous guidelines, a contractor or grantee was prohibited from retaining a share of the royalties.

c. USOE authorized to arrange dissemination under copyright. In the event the developer is unwilling or unable to arrange for commercial dissemination, either with or without copyright, the U.S. Office of Education may make arrangements directly with the disseminator. Previously that authority did not exist. Any copyright authorized to be claimed may then be in the name of the disseminator. Under these circumstances, the developer will not share copyright royalties.

d. "Thin market" materials require less formal procedure. In order to expedite the dissemination of materials which are not directed at a mass market, it is no longer necessary that a formal "request for proposals" be issued to a large segment of the dissemination industry. The previous guidelines did not distinguish between "mass market" and "thin market" materials.

e. Exclusion from guidelines procedures authorized for articles published in professional journals. No specific authority from the USOE is now required for the publication of articles based upon work performed under a USOE-supported project in copyrighted scholarly and professional journals and in similar periodicals. The previous guidelines did not give any procedure for publishing such articles.

The revised Office of Education Copyright Guidelines is included as Appendix C of this manual.

H. Guidance, Counseling and Testing

1. Scope and Purpose of the Act

Regulation 118.11 states, "(e) Project grants may be made to local agencies under this section for the following purposes: (1) planning programs and projects designed to provide the services and activities described in clauses (2) and (3), including pilot projects designed to test the effectiveness of such plans; (2) establishing or expanding innovative and examplary guidance and counseling programs and projects for the purpose of stimulating the adoption of new programs; and (3) establishing, maintaining, and improving programs of guidance and counseling services and activities, especially through new and improved approaches consistent with the purposes of Title III of the Act."

This Act combines into a single authorization Title V-A of the National Defense Education Act of 1958 and Title III and stipulates that Federal funds may be used for the same purposes and for funding of the same programs previously authorized by these Titles.

The purposes of guidance, counseling and testing programs under the Act are to: (a) advise students in public elementary and secondary schools or public junior colleges and technical institutes regarding courses of study best suited to their ability, aptitudes, and skills; (b) advise students relative to their decisions as to the type of educational program they should pursue, the vocation they should train for and enter, and the job opportunities in the various fields; and (c) encourage students with outstanding aptitudes and ability to complete their secondary school education, take the necessary courses for admission to institutions of higher education and enter such institutions.

Therefore, all programs or projects under the Act must in some justifiable way be related to the purposes as stated above. These purposes are primarily educational-vocational in nature. However, personal-social areas of development are essential to success in educational-vocational planning and achievement. The definition of "guidance and counseling" in the Regulations has been clarified to include assistance in personal-social development, including the development of a positive self-concept. This is particularly necessary in relation to elementary school guidance programs.

Regulations 118.10 and 118.11 state that in addition to programs at the local level, there also shall be "provision for supervision and leadership activities by the State educational agency with regard to the establishment, maintenance, and improvement of guidance and counseling services under the State plan," and coordination of related Federal and State programs "to provide for strong leadership in the area of guidance and counseling."

The intent of Congress is to maintain the identity and integrity of the guidance, counseling and testing program. However, the combining of these programs within a single authorization opens up possibilities toward the strengthening and development of quality guidance and counseling and other pupil personnel services through new and innovative approaches. For example, a type of program previously authorized under Title III, ESEA, included projects in the areas of school health, psychological and social work services. Such projects might be combined with guidance and counseling programs or projects to provide comprehensive programs of guidance, counseling, and other pupil personnel services.

Programs formerly authorized by Title V-A, NDEA are expressly modified by the amended Title III, ESEA as follows:

(1) Matching of Federal funds from State or local sources no longer applies.
(2) For guidance, counseling, and testing purposes, administration is distinguished from State supervision and leadership activities.
(3) Provisions for participation of children in nonprofit private schools are now included in guidance and counseling projects.
(4) The State must assure the Commissioner that an amount at least equal to 50 percent of Federal funds which were expended for guidance, counseling, and testing from funds appropriated for Fiscal Year 1970 will be spent for these programs from Fiscal Year 1971 funds.
(5) Federal funds made available under this Title will be so used as to supplement and, to the extent practicable, increase the level of funds that would, in the absence of such Federal funds, be made available by the applicant for authorized purposes, and in no case supplant such funds.
(6) All applications for funds must be in the form of a project proposal which meets the regulatory criteria and must be reviewed by the State Advisory Council and the panel of experts prior to funding.

2. State Supervisory and Leadership Services

a. Use of Funds

Funds for State-level supervisory and leadership activities in guidance and counseling (excluding State plan administration) may continue to be expended in a manner similar to the former Title V-A, NDEA Program consistent with regulatory requirements. These may include the utilization of local grant funds for such State-level activities as well as for local grants.

A State shall expend for guidance, counseling, and testing purposes from funds appropriated for any fiscal year through FY-1973 an amount at least equal to 50 percent of the amount expended from Federal grant funds by that State from funds appropriated for FY-1970 for the purposes of Title V-A, NDEA. However, there is no limit beyond this amount on what the State may spend from its Title III allotment for guidance, counseling, and testing programs or projects.

All expenses attributable to guidance, counseling, and testing programs under Title III State Plan are acceptable towards meeting the 50 percent requirement set forth above with one exception: allowable expenditures incurred by the State educational agency in administering the guidance, counseling and testing programs or projects under the State Plan shall be met with administrative funds available to the State under Section 303(c) of the act and cannot be taken into account in meeting the 50 percent requirement. Regulations 118.35(b) states, "Allowable expenditures incurred by the State educational agency in administering the guidance, counseling and testing program or projects under the State plan shall be met with administrative funds available to the State under 307(a) of the Act."

Each State will determine what is administration as distinguished from State supervision and leadership activities and will make necessary arrangements in terms of staff responsibilities and functions for the administration of the guidance, counseling, and testing programs. Generally those activities pertaining to "administration" would include, but would not necessarily be limited to, State Plan review, project review, Title III fiscal activities, project approval, the mechanics of project management and policy development. Conversely, activities which would likely not pertain to "administration" would include, but would not necessarily be limited to, supervisory activities, supervisory staff development, leadership activities, and project development.

Amounts expended for guidance, counseling, and testing from fiscal year 1971 appropriations are to be new commitments under this Title on the part of States and will not include money expended through continuation costs of already existing guidance and counseling projects approved under Title III prior to Fiscal Year 1971. It also is understood that only projects which are predominantly or primarily of a guidance, counseling, and testing nature, or major components of this nature in more comprehensive Title III projects, and which are funded from the amount specifically designated for guidance, counseling, and testing, should be considered in determining the total amount expended by a State from Title III funds for guidance, counseling, and testing.

The Act provides that Federal funds may be used for the same purposes, and the funding of the same types of programs previously authorized by Title V-A, NDEA, except as expressly modified by Title III, ESEA. One such modification is the provision relating to supplanting of funds. Under the revised amendments for Title III, ESEA, Federal funds available under this Act cannot be used to supplant funds from other sources, such as State and local funds.

Under Title V-A, once programs of Guidance, Counseling and Testing were established under the Act, such programs were eligible to be maintained subject to continuing compliance with requirements set forth in the State's plan. Since the revised Title III (Sec. 301(a)), provides for grants "to assist the States in establishing and maintaining programs of testing and guidance and counseling," it becomes essentially an extension of the same types of programs previously authorized by Title V-A, NDEA. Therefore, the use of Federal funds for program activities established under Title V-A, NDEA, and continued or maintained at no more than the same dollar level under Title III, ESEA, would not be considered supplanting of funds. However, Federal funds for guidance, counseling and testing programs or projects established under Title III, ESEA, which are different from programs authorized under the former Title V-A, or which involve school projects, and which are funded from the amount specifically designated for guidance, counseling, and testing, should be considered in determining the total amount expended by a State from Title III funds for guidance, counseling, and testing.

The Act provides that Federal funds may be used for the same purposes, and the funding of the same types of programs previously authorized by Title V-A, NDEA, except as expressly modified by Title III, ESEA. One such modification is the provision relating to supplanting of funds. Under the revised amendments for Title III, ESEA, Federal funds available under this Act cannot be used to supplant funds from other sources, such as State and local funds.

Under Title V-A, once programs of Guidance, Counseling and Testing were established under the Act, such programs were eligible to be maintained subject to continuing compliance with requirements set forth in the State's plan. Since the revised Title III(Sec. 301(a)), provides for grants "to assist the States in establishing and maintaining programs of testing and guidance and counseling," it becomes essentially an extension of the same types of programs previously authorized by Title V-A, NDEA. Therefore, the use of Federal funds for program activities established under Title V-A, NDEA, and continued or maintained at no more than the same dollar level under Title III, ESEA, would not be considered supplanting of funds. However, Federal funds for guidance, counseling and testing programs or projects established under Title III, ESEA, which are different from programs authorized under the former Title V-A, or which involve school districts for the first time in types of programs previously authorized by Title V-A, must not supplant funds from other sources which were being used for the same types of programs or projects.

The same circumstances apply regarding testing for students in private, non-profit schools. For example, Federal funding for the testing of students in such schools who were participating during FY 1970 under the provisions of a Title V-A State plan program may be continued at no more than the same dollar level for the total cost of such testing under Title III, ESEA (to the extent that the same provisions apply under the Title III State plan) without being regarded as supplanting of funds. Since the matching requirement no longer applies under Title III, ESEA, (as was the case under Title V-A, NDEA), and since testing made available under the Title III State Plan is to be provided without cost to students in nonprofit, private schools, "the same dollar level" in this instance refers to the total cost of the testing program for the students in each school as previously carried out under Title V-A, including funding from Federal and other sources. Should the Title III State plan make provision for types of tests and grade levels to be tested other than those provided under Title V-A, and which previously had been funded from State, local or other sources, the substituting of Federal monies for such testing clearly would be supplanting of funds.

Since no funds were available for the guidance and counseling of students in private, non-profit schools under Title V-A, NDEA, the "supplanting" restriction will apply to any guidance and counseling programs or projects now available to such students under Title III, ESEA.

b. Categories of Activities

The State Plan shall describe the program of the State agency for supervisory and related services in public elementary and secondary and counseling services under the State Plan. Therefore, it is expected that a significant amount of the funds for guidance, counseling and testing under Title III, ESEA shall be used for local programs or projects at appropriate educational levels. Programs of State supervision and leadership may include the following activities: (1) The organization, general direction and coordination of the guidance and counseling, and testing programs established under the plan; (2) planning State programs and assisting in the planning of local programs; (3) assisting local guidance personnel in establishing, maintaining, or improving programs; (4) planning and preparing materials and information for State and local programs; (5) planning innovative or exemplary guidance, counseling, and testing programs; (6) demonstrating through pilot programs, or otherwise, guidance and counseling, and testing procedures and techniques; (7) evaluating the results of guidance and counseling, and testing programs; and (8) such other related activities as may be necessary for the organization, maintenance, and improvement of programs or projects established under the plan.

c. Categories of State Level Expense

To the extent that the items of cost are attributable to the programs approved under the State plan, the cost of supervisory and related services, in guidance and counseling, and testing programs in which Federal participation may be claimed includes such categories of expense as the following: (1) salaries of the staff, both clerical and professional; (2) consultant's fees; (3) expenses of committees, workshops, and conferences, including the travel of those representing the State agency or acting in an advisory capacity to it; (4) contractual services consistent with State laws and regulations and the State plan, provided such services do not result in the relinquishing by the State agency of any part of its responsibility for supervisory and related services; (5) office equipment and equipment necessary for State programs of guidance, counseling, and testing; (6) communication; (7) supplies, printing, and printed materials, including reference books; (8) purchase or rental of tests, answer sheets, cumulative record forms, and such other materials as may be needed under the plan; (9) rental of equipment for scoring, processing, and reporting the results of tests administered under the plan or, if such equipment is owned by State or local agencies, the pro-rata share of the cost of maintaining and operating such equipment; (10) rental of office space as required; (11) employer's contributions to retirement, workmen's compensation, and other welfare funds maintained for one or more general classes of employees of the State agency; (12) machine processing of program data; and (13) travel expenses of staff and consultants.

d. Utilization of Related Resources

The State educational agency shall assess the Federal and State programs where there is State-level supervisory and leadership responsibility with respect to guidance and counseling, and the SEA will determine how these various programs and sources of funds can be coordinated to provide for stronger leadership in the area of guidance and counseling at the State level. These include such programs as ESEA Title I, V, and VI; EDPA, and the Vocational Education Act.

3. Program for Testing Abilities and Aptitudes

"Testing," as it relates to the former NDEA V-A program, means the use of tests which measure abilities from which aptitudes for the individual's educational or career development validly may be inferred. Funds for testing aptitudes and abilities of students will continue to be used for State and/or local testing programs as formerly authorized under V-A of NDEA.

Purposes of testing program: The State plan shall provide for a testing program to identify students with outstanding aptitudes and abilities in elementary and secondary schools to include at least one test not above grade 12. The testing program may extend it to students in junior colleges and technical institutes. Such a program shall: (a) be utilized to identify students with outstanding aptitudes and abilities; (b) provide such information about the aptitudes and abilities of students as may be needed in connection with the counseling and guidance program; and (c) provide such information as may be needed to assist other educational or training institutions and prospective employers in assessing the educational and occupational potential of students seeking admission to educational or training institutions or employment.

Conduct of Testing program: Application and approval of testing programs at the local level shall be carried out in accordance with criteria, policies, and procedures established under the State plan.

Requirements for Testing Program

a. The State plan shall describe the provisions for carrying out the program, including: (1) the primary objectives of the program; (2) the types of tests to be utilized for the measurement of aptitudes and abilities and; (3) the grade level(s) of students to be tested. The State shall provide that the program will be made available to all students in the specified grades in the school of the participating local educational agencies and in the other participating schools, junior college and technical institutes if the SEA elects to include guidance, counseling and testing in the testing program.

b. Utilizing other agencies: In administering the testing program, the State educational agency may: (1) utilize local agencies to conduct the testing program under State supervision; (2) provide for a testing program to be planned and administered by a local agency under the plan; and (3) contract with public or private institutions or agencies, or with individuals for services (e.g., machine scoring of tests and reporting of test results) which are not inconsistent with its responsibilities.

c. Expenditures of local agencies: If the State agency conducts a testing program under the provisions of this section, expenditures otherwise appropriate are subject to Federal participation when made by the local agency for (1) the purchase or rental of tests, answer sheets, profile sheets, cumulative record forms, and such other materials as may be necessary under the plan; (2) the rental of equipment for scoring, processing, and reporting the results of tests administered under the plan or, if owned by State or local agencies, the pro-rata share of the cost of maintaining and operating such equipment; or (3) contractual services, not inconsistent with State and local responsibilities, for machine scoring of tests and reporting of test results.

4. Guidance and Counseling Programs

The term, "programs or projects" is used throughout the Act with reference to Title III. However, only the term "program" is used when specific reference is made to guidance, counseling, and testing. In order to clarify these terms the position has been taken that all applications for funding under Title III are to be identified as projects, but with two approaches: (a) projects of the type which heretofore have characterized Title III, and (b) projects which encompass programs of the types previously authorized by Title V-A, NDEA.

A State, if it chooses, may make provisions for both approaches in the State Plan. These two approaches are described as follows:

a. Guidance and counseling projects and proposals may be planned, developed and approved in accordance with the project concept and under the criteria, policies, and procedures which heretofore have characterized Title III, ESEA. Under Title III, ESEA nonmatching grants are awarded to States with an approved State Plan to stimulate local school districts to seek creative solutions to their educational problems. Under this program, local educational agencies submit project proposals for innovative and exemplary projects to the State educational agency which are then reviewed, selected, and funded as projects to be operated by the local educational agency for a project period as stipulated in the State Plan, subject to annual review. The State (FAST) plan may provide for this type of project approach by a statement which incorporates criteria, policies, and procedures by reference to the Title III, Supplementary Educational Centers and Services, operational plan. Regardless of type of project approach, however, the "FAST" plan also must make provisions for a testing program and a State-level program of supervision and leadership, including activities and staff qualifications.

b. Proposals submitted to the State from local educational agencies for guidance, counseling, and testing projects of a similar type as previously authorized by Title V-A, NDEA, may be developed and approved in accordance with criteria, policies, and procedures established by the State for such purposes and must be set forth in the Title III State Plan. In addition to the criteria, policies, and procedures which the State has established for these kinds of programs (such as contained in the State's plan for the former Title V-A program) there are other requirements in accordance with the revised Title III, ESEA: (1) Regulation 118.24(b) states that the State educational agency shall establish the criteria to be used in reviewing applications for guidance and counseling programs and projects, (2) projects are to be reviewed by one or more persons with expertise in the area of guidance, counseling, and testing who are included on the panel of experts for Title III, (3) recommendation for approval of projects must be made by the State Advisory Council which should include adequate representation by persons with professional competence in guidance, counseling, and testing.

Criteria for Reviewing Project Proposals

Criteria which must be included are as follows: (Reg. 118.24(a))

(4) concepts or practices which are economically feasible and effective;

(5) evaluation strategies and procedures based on valid methodology which will provide evidence of the extent to which performance of the participants is improved;

(6) performance objectives which are measurable, and appropriate activities which facilitate achieving them;

(7) an awareness of information concerning similar programs, relevant research findings, and views of recognized experts;

(8) provisions for staff with professional qualifications adequate to achieve the project's stated objectives;

(9) provisions for budgeted expenditures for adequate and appropriate facilities, equipment, and materials which show a direct relationship in facilitating the achievement of the stated objectives;

(10) documentation that in the planning of the project there has been, and in the operation and evaluation of the project there will be, (A) utilization of the best available talents and resources and (B) participation of students, teachers, parents, school administrative personnel, private nonprofit school representatives, and other persons including those with low income, broadly representative of the cultural and educational resources of the area to be served;

Scope of Activities in Accordance with Approach B

(a) Guidance and Counseling programs shall provide assistance, appropriate to the educational levels of the students, by (1) assessing the abilities, aptitudes, interests, and educational needs of each student; (2) developing understandings of educational and career opportunities and requirements; (3) helping students, directly and through their parents and teachers, to achieve educational and career development commensurate with their abilities, aptitudes, interests, and opportunities, and (4) interpreting student needs for expanded or modified educational activities.

(b) Such programs may include the following guidance and counseling activities to the extent that they are carried out by utilizing procedures and techniques appropriate to the educational levels of the students and are directed toward the achievement of the purpose of the Act:

(1) Collecting, organizing, and interpreting such information as may be appropriate to the understanding of the student's abilities, aptitudes, interests, and other personal assets and liabilities related to educational readiness and progress and to career planning and development;

(2) Making available to the student and his parents such educational and career information as may be essential for them to understand the educational process and the various educational and career opportunities and requirements related to the choice of an educational program and a career;

(3) Providing individual counseling (a) to help the student and his parents develop a better understanding of the student's educational and occupational strengths and weaknesses; (b) to help the student and his parents relate his abilities and aptitudes to educational and career opportunities and requirements; (c) to help the student, with the assistance of his parents, make appropriate educational plans, including the choice of courses and the choice of an institution of higher education; (d) to stimulate desires in the student to utilize his abilities in attaining appropriate educational and career goals; and (e) to provide the student, directly or through arrangements with other appropriate resources, with such assistance as may be needed for the development of his aptitudes and the full utilization of his abilities;

(4) Providing services to encourage and assist students in making educational transitions, such as placement in the next educational level, and in securing appropriate employment during and upon completion of the educational program;

(5) Providing such group activities as may be necessary to orient students and their parents to the (a) school program including its offerings, services, and requirements; (b) educational opportunities and requirements at the next level; and (c) career opportunities and requirements;

(6) Providing to teachers and school administrators such assistance and information about individual students or groups of students as may be necessary to enable them to plan and implement curricular and instructional programs and services which will afford students maximum and equal opportunity for educational development, and which will be consistent with the manpower needs of the State and the Nation; and

(7) Collecting and analyzing such information as may be needed to evaluate the guidance and counseling program and to provide such guidance information as may be available and needed to evaluate the school's program in terms of the educational needs of the students and of the State and the Nation.

Categories of Allowable Expenditures

Categories of allowable expenditures for the supervision and operation of local guidance and counseling programs approved by the State educational agency under the standards and procedures established by the State in elementary and secondary schools or junior colleges and technical institutes include the following:

(a) salaries and necessary travel expenses of local school guidance personnel to the extent that activities are specifically authorized. The employer's contribution to retirement, workmen's compensation, or other welfare funds maintained for one or more general classes of employees of the local agency may be included.

(b) Salaries of clerical personnel assisting local guidance personnel engaged in the operation of a local guidance and counseling program under the plan.

(c) The purchase and maintenance of office equipment necessary to meet the plan requirements with respect to professional guidance and counseling activities.

(d) The purchase of materials including library source materials and supplies as may be necessary to fulfill the functions of the guidance and counseling program under the plan.

(e) Necessary travel expenses for local guidance personnel engaged in State Plan activities and for their participation in such professional activities, including conferences and workshops, as may be approved under the Plan by the State educational agency.

5. Operational State Plan

As a supplement to the State plan, the State is expected to maintain a comprehensive operational State plan as a basis for continuing program development and improvement. The State plan for the former Title V-A, NDEA, program to which reference was made by a number of States in the FY 1970 State plan may continue to be used as a basic pattern for a revised plan. Such a plan would consist of three major components: (1) State supervision and leadership, (2) testing, (3) local guidance and counseling projects. However, those parts of this operational plan which may be incorporated by reference in the State plan for FY 1971 and subsequent years, must be in compliance with the Act and Regulations. It is necessary, therefore, that the operational plan be submitted in OE for reference purposes along with the State plan.

The State should set forth in its operational plan its program for guidance and counseling in elementary and secondary schools, and may provide for such a program in junior colleges and technical institutes, including the following items, differentiated with respect to such types of schools or institutions where appropriate:

(a) Procedures to be employed by the State educational agency in the initial and succeeding approvals of local guidance and counseling projects for participation under the plan, and the methods to be used in the conduct of the professional reviews and evaluation of such projects should be in accordance with Sec. 2.3.8, 2.3.9 and 2.3.10 of the State plan.

(b) Professional standards to be employed by the State educational agency for approval of local guidance and counseling projects with respect to (1) the guidance and counseling activities to be provided and the grade levels of students who are to be the participants in such activities; (2) the duties of and qualifications for local guidance and counseling positions; (3) the ratio of students to each full-time local guidance and counseling position or its equivalent and (4) the physical facilities, equipment, and materials to be available for the conduct of guidance and counseling activities under the plan.

(c) Supervisory methods and procedures to be employed in local guidance and counseling programs under the plan.

(d) Coordination methods and procedures to provide assurance of appropriate relationships between the local guidance and counseling program under the plan and other related services available to students.

6. Participation of Nonpublic School Children in Guidance and Counseling Projects and Programs

Title III, ESEA, already has set a precedent in terms of provisions for participation of nonpublic school children in innovative and exemplary projects operated by local educational agencies. Nonpublic school children have been served and are to be served on an equitable basis in all Title III projects, including those in the areas of guidance and counseling to the extent consistent with the number of children enrolled in private nonprofit schools in the area to be served whose educational needs are of the type provided by the program or project. These children benefit from the program or projects through direct participation. observation, visitation, and dissemination of information.

7. Advisory Committee

A State may choose to maintain the guidance, counseling, and testing advisory committee as under the former Title V-A, NDEA program either on an ad hoc or continuing basis to deal more fully and explicitly with advisory matters relating to guidance, counseling, and testing program development. A liaison relationship, however, should be maintained with the State's Title III Advisory Council to coordinate and relate the State's overall program development strategy to the total resources under Title III, ESEA.

I. Other Program Considerations

1. Handicapped

a. State Plan

The following requirements relate to Title III programs for handicapped children.

(1) Fifteen percent of the program dollars available to a State shall be used for planning, establishing or expanding innovative or exemplary programs, services or activities, which have as their purpose the demonstration

of a solution or solutions to one or more of the critical problems in American education as they pertain to education of handicapped children.

(2) Whenever possible, Title III funds spent for the handicapped shall be coordinated with other available resources for the purpose of obtaining maximum benefits for handicapped children and for the purpose of providing an opportunity for mutuality of planning among State educational agency personnel.

(3) Proposals relating to the education of handicapped children shall be reviewed by the State educational agency's unit for education of handicapped children; and sufficient time shall be provided in order that appropriate recommendations and comments may be made and considered prior to approval and funding of projects.

(4) Any facility constructed shall be accessible to and usable by handicapped persons as set forth under Title III Regulations, Section 118.42(10).

b. Definition of Terms

"Handicapped Children," means those children who are mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, crippled, seriously emotionally disturbed, crippled and other health impaired, and who because of these particular health problems require special education or related services.

Often, further clarification is requested concerning the interpretation of definitions used for various handicapping conditions, such as "seriously emotionally disturbed" and "specific learning disabilities" (which until recently was counted under "other health impaired").

Seriously emotionally disturbed children, as opposed to socially maladjusted children, exhibit one or more of the following characteristics over a long period of time and to a marked degree:

(1) an inability to learn which cannot be explained by intellectual, sensory, or health factors;
(2) an inability to build or maintain satisfactory interpersonal relationships with peers and teachers;
(3) inappropriate types of behavior or feelings under normal circumstances;
(4) general pervasive mood of unhappiness or depression; and/or
(5) a tendency to develop physical symptoms, pains, or fears associated with personal or school problems.

Children with "specific learning disabilities" are those children who have a disorder in one or more of the basic psychological processes involved in understanding or in using language, spoken or written, which disorder may manifest itself in imperfect ability to listen, think, speak, read, write, spell, or do mathematical calculations. These disorders include conditions such as perceptual handicaps, brain injury, minimal brain dysfunction, dyslexia, and developmental aphasia. The term does not include children who have learning problems which are primarily the result of visual, hearing, or motor handicaps, of mental retardation, of emotional disturbance, or of environmental disadvantage.

For the purpose of providing special education in a particular State, children are classified as handicapped and are eligible to receive funds under Part B of the Education of the Handicapped Act, P.L. 91-230, they shall be eligible to receive title III, Sec. 306 funds earmarked for handicapped children.

c. Types of Projects Which Can Be Designed to Demonstrate Ways to Solve Critical Problems in the Education of the Handicapped

(1) Projects providing services for the handicapped under the Title III State Plan Programs may or may not be a part of a larger Title III project and in either situation may serve one or more types of handicapped children.

(2) Title III emphases should not be on "meeting the needs of handicapped children" but rather on demonstrating the solution to critical problems in American education as they relate to the handicapped. It is recognized that needs of the handicapped will be met when innovative and creative models are designed and operated but this should not be the major thrust of a project.

(3) The total Federal effort in behalf of the handicapped is to provide through mutuality of planning at the local, State and Federal level, a continuum of services for this segment of our population. Title III programs for the handicapped may particularly be seen as a means to create this continuum but they must be seen as a demonstrative and catalytic part and not as a basic support effort. In this manner those charged with the overall responsibility for education of the handicapped at all governmental levels shall be able to view their financial and human resources, including Title III, in proper perspective. Thus, they will recognize that Title III projects may well serve as their showcase where projects to advance creativity in the education of the handicapped can be demonstrated.

(4) In order that this kind of sophistication can be achieved it is expected that mutuality of planning between the Title III coordinators and the State Special Education personnel will lead to the development of large, easily identifiable projects and programs which are designed to demonstrate ways to solve one or more critical problems in the field of education of handicapped children. It is more desirable to have one or two well conceived projects seeking to demonstrate solutions in critical problem areas as defined by the Title III Coordinators, the States needs assessment, or the State Title III Advisory Committee, and/or the State Special Education Units, then to have many projects or programs which will not be exemplary or innovative. With mutuality of planning, the concern for percentages of funds set aside for the handicapped will be lessened and the dedication to solving mutually identifiable problems through model education approaches for the handicapped will be increased.

(5) Determination of the percentage of program dollars used for the handicapped under each Title III project should be the joint responsibility of the State Department of Education's Unit on education of the handicapped and State Department of Education unit on Title III. Whatever the level, it should be mutually determined and evidence to this effect should be presented in the State Plan.

d. Bureau of Education for the Handicapped Assistance to Educational Agencies

The Aid to States Branch of the Bureau of Education for the Handicapped, when requested, will assist local and State educational agencies in cooperation with the State Plans Branch in BESE, in developing projects and State plans by making available Bureau staff when possible, or by locating in the State or region competent personnel for such assistance. In the event Bureau staff are not available, States may arrange to send their personnel to the Bureau in Washington for consultation.

2. Hearings and Project Terminations

a. Opportunity for Hearing

Following the review of a project application by the panel of experts, the State advisory council, and the State agency, the local educational agency must be notified if the anticipated decision on the project application is other than approval. Procedures must be established by the State to allow the local agency a hearing which would include a review of the project and the reasons for the proposed action.

Following the hearing, the State agency will reach a final decision on the project and notify the applicant of the reason for the final decision.

If the applicant is dissatisfied with the final decision, he shall have the right to appeal this decision through legal channels as specified in the Act and the Regulations.

b. Alterations or Amendments to Projects

After a project or program has been approved and a grant has been awarded to the local educational agency, the project will be operated in accordance with the terms of the approved application and the terms and conditions specified by the grant award document.

The plan shall set forth provisions whereby the State educational agency may review requests by grantees to alter or amend projects during the project period.

(1) Program Changes

No substantive changes in the purposes of the program will be made without prior written approval from the appropriate officer in the State educational agency. Program changes include the modification of program objectives and the alteration of activities designed to achieve the stated objectives. Requests for such changes, including an explanation and justification for each change, will be submitted to the appropriate State officer.

(2) Extension of Project or Budget Period

When progress under the grant is delayed and circumstances make it necessary to request an extension of either the project period or the budget period, or both, without additional funds, a written request should be to the State educational agency. (Where it appears that the activity to be accomplished within the project period or the budget period, or both, will be completed within three (3) months after the expiration date, it will not be necessary to request an extension. However, if it appears that the time required will exceed three (3) months, the Title III Coordinator should be informed and an extension requested.)

(3) Transfer of Funds

The State agency may formulate a general policy to permit the grantee to transfer funds among the various cost categories in the negotiated budget to the extent necessary to assure the effectiveness of the project, except that, no transfers may be made which will alter the approved project without prior written approval.

c. Continuation and Termination of Projects

To accomplish the objectives of Title III, provisions should be made to continue the support of promising projects as well as to terminate those projects which prove to be ineffective or unsuccessful.

(1) Costs for Continuation

The cost of continuation of projects for any fiscal year should not exceed the amount of funds available to the State to carry out its State Plan for that fiscal year.

Only those projects which have been evaluated and can provide objective data which demonstrates that they have successfully met their objectives should be continued. These projects should continue to serve as models so that other school districts can adopt or adapt those practices which have been validated as being successful.

(2) Termination of Projects

The State educational agency shall establish procedures for termination, during the project period, of unsuccessful projects and projects which are not operating in substantial compliance with (a) any provision of Title III of the Act and these regulations or (b) any requirement set forth in the approved State Plan or in the approved project application. If such termination would involve a cut-off of funds already obligated under a grant award, the grantee shall be afforded reasonable notice of the proposed action and opportunity for a hearing.

3. Participation of Children from Private Nonprofit Schools

The State Plan shall contain satisfactory assurances that each local educational agency receiving funds under Title III of the Act will provide for the effective participation in its Title III program or projects, on an equitable basis, by children enrolled in private schools in the area to be served whose educational needs are of the type which the program or project is designed to meet. The number of such children to be served, in relation to the total number of such children, shall be consistent with the number of public school children to be served in relation to the total number of public school children in the area served with educational needs of the type the program or project is designed to meet.

Title III of the Elementary and Secondary Education Act (P.L. 91-230), provides that a grant under this Title pursuant to an approved State plan may be made only to a local educational agency or agencies. The term "local educational agency" is defined in the Regulations to mean a public board of education or other legally constituted public authority within a State.

SEA's should take positive action to assure that private school children receive the Title III benefits to which they are entitled under the legislation. This action should include activities such as:

(a) Providing information to LEA's through workshops and other means concerning the organizational structure of private schools in the State and providing the names of appropriate persons to contact in the private school structure.

(b) Providing information to all private schools in the State concerning eligibility of and provisions for voluntary participation by private school children in ESEA Title III programs and projects.

Whenever private school children are eligible, their representatives should be asked to express a desire to participate or intent not to participate. Private school representatives should be involved in the planning of projects at the very beginning so that the needs of private school children are considered in conjunction with the needs of public school children prior to the development of a proposal.

The State should monitor each approved Title III project which involves private school children and assure that it benefits the same percentage of eligible private school children in the project area who desire to participate as the percentage of public school children benefitted by the project. The benefits received by the private school children should be substantially the same provided by regulations as the benefits received by public school children.

In geographic areas where there is no Title III program or project serving public schools, there is no basis for equitable participation by students in nonprofit, private schools. The absence of such a program or project for either public or nonpublic school students does not constitute substantial failure to provide for effective participation of nonpublic school students, and therefore cannot be considered justification for separate programs or projects for such students. Therefore, children in private schools should be informed that projects cannot be approved that benefit private school children only. Conversely, project proposals that will benefit only public school children will not be approved if there are private school children in the area to be served--unless the eligible private school representatives in the project area have formally indicated they do not wish to participate in the proposed project.

Provisions for serving private school children shall not include (a) the payment of salaries to teachers or other employees of private schools except for services performed outside regular hours of duty and under public supervision and control, (b) financing of the existing level of instruction in private schools, (c) the placement of equipment on private school premises other than portable or mobile equipment which is capable of being removed from the premises each day, and (d) the construction of facilities for private schools. Whenever practicable, educational services shall be provided to private school children on publicly controlled premises. None of the funds made available under Title III of the Act may be used for religious worship or instruction.

Any project to be carried out in public facilities and involving joint participation by children enrolled in private schools and children enrolled in public schools shall include such provisions as are necessary to avoid the separation of participating children by school enrollment or religious affiliation.

The State educational agency shall require that every project application submitted to it by a local educational agency shall describe how the local educational agency will fulfill the requirements of subsections (a), (b), and (c). This description shall contain information indicating: (1) the number of private schools in the area to be served by the project and the number of children enrolled in such schools in the grades to be served by the project; (2) the existence of any factors which limit the appropriateness of the project for private school children; (3) the manner in which and extent to which representatives of private school children participated in the development of the project proposal (including participation in the determinations required under clause (d) (2); (4) the provisions which have been made for effective liaison with representatives of private school children in regard to operation and review of the project; (5) the places at which and methods by which private school children will be served in accordance with the requirements of subsections (b) and (c); and (6) the differences, if any, in the kind and extent of services to be provided private school children as compared with those to be provided public school children, and the reasons for such differences.

a. Testing Programs

In the case of a State which cannot provide for effective participation of nonprofit private school children in State plan testing programs, the State must make such a determination in the State plan. The Commissioner may then arrange for such testing of these children through contracts with institutions of higher education or other competent nonprofit institutions or organizations. The contractor will provide testing and/or scoring and reporting services for these children.

b. Title III Projects, Including Those in the Areas of Guidance and Counseling

Title III, ESEA, has already set a precedent in terms of provisions for participation of nonpublic school children in innovative and exemplary projects operated by local educational agencies. Nonpublic school children have been served and are to be served on an equitable basis in all Title III projects, including those projects in the areas of guidance and counseling, to the extent consistent with the number of children enrolled in private nonprofit schools in the area to be served whose educational needs are of the type to be met by the project. These children benefit from the projects through direct participation, observation, visitation, and dissemination of information.

(1) Extent of Involvement

Participation of nonpublic school children and teachers should be considered early in the planning and development of projects.

The local educational agency must involve, where appropriate, representatives of private schools in the planning phase of the project as "cultural and educational resources" of the community. During the operational phase of the project, many different types of arrangements might be made. For example, dual enrollment programs, mobile units, visiting personnel, after-school activities, central libraries, or museums could provide educational opportunities to children and teachers in nonprofit private schools.

(2) Facilities

In many communities, public facilities will not be equipped to receive a large influx of private school students, nor will sufficient resources be available to construct or lease a facility. Services may be provided on private school premises only when it is not feasible to provide such services on public premises. Services provided to children on private school premises must not inure to the benefit or enrichment of the institution. No facilities which will be owned by private schools may be constructed with Federal assistance.

(3) Personnel

No part of any funds granted under Title III may be used for the support of the existing level of instruction in any public or private school or for the salaries of private school employees when so employed. Although the Act prohibits the payment of salaries to private school teachers, stipends are of a different nature and may be paid to private school personnel attending Title III inservice training programs.

While the State educational agency is not required to follow Office of Education guidelines in this connection, the following Office of Education policy may be helpful: stipends may not exceed $15.00 per day for each participant (maximum of $75.00 per week), and $3.00 per day for each dependent (maximum of $15.00 per week).

(4) Equipment

Equipment purchased with Title III funds may not be left on private school premises. Project personnel performing services on private school premises may, however, bring on the private school premises those necessary "tools of their trade" which can be removed from the premises each day. Such equipment must be used for Title III purposes only.

(5) Inservice Training

Private school teachers may receive payments with Title III funds for travel allowances, luncheon expenses, and similar costs when attending approved Title III inservice training programs. Title III funds may be used to compensate private school teachers for services rendered in connection with the operation of a Title III project only when the services are performed outside their regular hours of duty and are under public school supervision and control.

c. Complaint Procedure

If participation of nonpublic school children is not provided by a Title III project, any organization or official acting on behalf of these children should follow the complaint procedure given below. This procedure is subject to the following stipulation:

> (1) A complaint may be registered only on behalf of one or more children enrolled in nonprofit private elementary or secondary schools which are in conformity with Title VI of the Civil Rights Act of 1964 (hereinafter referred to as "private school(s)") and when this child (or children) is attending a school considered by the complainant to meet the statutory criteria for participation in a given program or project under Title III of the Elementary and Secondary Education Act.
>
> (2) The complaint procedure below applies where there is a substantial allegation that: (1) a Title III, ESEA program or project is being conducted, or has been approved to be conducted, in the given area or district; (2) there is (are), in the area served, or to be served, by that program or project, a child or children enrolled in private school(s) whose educational needs are of the type to be met by that program or projects; and (3) as a result of specified acts or omissions by the responsible State educational agency or local educational agency(ies), or both, the child (children) identified in the complaint cannot effectively participate in said program or project on an equitable basis.

If these stipulations are met, the complaint procedure which will be observed is as follows:

(1) Any organization, private school group, school official, or parent or group of parents acting on behalf of private school children who are assumed to be eligible to receive services under Title III, ESEA, may make an official complaint to the Associate Commissioner for Elementary and Secondary Education, U.S.O.E. (hereinafter referred to as "Associate Commissioner").

(2) All complaints must be made in writing. The Associate Commissioner (or a responsible official acting on his behalf) will acknowledge receipt of the complaint in writing.

(3) When a complaint lacking sufficient information for investigation is received, the Associate Commissioner will request the complainant to forward the necessary additional information to the affected State educational agency. At the same time, the Associate Commissioner will forward to the affected Chief State School Officer a copy of the complaint and will request that he give due consideration to the additional information when it is received by the State in the manner prescribed in Item (d) herein. (This step is taken to assure that the first instance of complaint is handled initially by the affected State unless unusual circumstances warrant otherwise.)

(4) When the Associate Commissioner receives a complaint with sufficient information, the Chief State School Officer of the affected State will be notified in writing of the complaint and will be asked to investigate it. The Chief State School Officer will also be requested to reply to the Associate Commissioner within 30 days, giving the results of his investigation, including relevant facts concerning the extent of participation of the affected private school children in the Title III project under question, and will outline steps he has taken to rectify any inequities if such inequities are found to exist.

(5) After the State has replied to the complaint and has informed the Office of Education of any action the State has taken to resolve the issue, the Associate Commissioner will determine whether additional action on the part of the Office of Education seems justified.

(6) Possible steps which the Associate Commissioner could take at this point, assuming the complaint is still unsettled, include the following:

(a) Refer the complaint and the State report to the DHEW Regional Auditors to conduct a further investigation and prepare a report;

(b) Hold an informal meeting (preferably at the SEA offices) with both State and local educational agency representatives and the complaining party in an attempt to settle the complaint amicably;

(c) When considered necessary and feasible, advise the chairman of the State advisory council, which council is charged with evaluating programs and projects assisted under Title III, of the problem and efforts made toward its solution, and seek his assistance in bringing the matter to final and agreeable conclusion;

(d) If the State investigation or the investigation conducted by the DHEW Regional Auditors should indicate that the source of the complaint is essentially a failure to comply with the provisions of the Civil Rights Act, Title VI, the complaint will be referred to the DHEW Office for Civil Rights for further investigation;

(e) Finally, if the investigations indicate that this complaint does, in fact, appear to be a violation of Sec. 307(f) of P.L. 91-230 and that the State is unable or unwilling to obtain a satisfactory settlement, the Associate Commissioner will recommend to the Commissioner that he order a compliance investigation of the State ESEA Title III plan and the administration of that plan and, if further warranted, that he hold a compliance hearing.

4. Funds Required for Innovative Practices

The State educational agency shall establish policies and procedures under which it will use at least 50 percent of the funds that it receives to carry out its State plan in each fiscal year to:

a. plan for and take other steps leading to the development of innovative and exemplary programs and projects, including pilot projects designed to test the effectiveness of such plans; and

b. establish or expand innovative and exemplary programs and projects (including dual enrollment programs and the lease or construction of necessary facilities) for the purpose of stimulating the adoption of new educational programs, including special programs for handicapped children and programs such as those described in 8503(4) of the Act, in the schools of the State.

J. The State Educational Agency and the Delegation of Authority and Responsibility

While the State educational agency must assume responsibility for the statewide assessment of needs, project evaluation, and dissemination, Title III grantees, including intermediate educational agencies, are responsible for conducting needs assessment, project evaluations, and dissemination activities in the area served by their individual projects. However, the State educational agency has the sole responsibility for reviewing all applications submitted by local educational agencies or intermediate educational agencies and for making all decisions regarding the funding of Title III proposals submitted to the State educational agency.

The State agency's total statewide efforts should be coordinated with those of Title III grantees, but must not duplicate nor depend upon them. However, the State agency may delegate certain statewide responsibilities to local educational agencies through the use of Title III administration funds, but may not delegate any of these responsibilities by diverting Title III program funds.

1. Intermediate Educational Agency Activities

The State educational agency may delegate certain responsibilities to a legally constituted intermediate educational agency for carrying out statewide needs assessment, evaluation, and dissemination functions, provided that: (a) there is no duplication of local project efforts, (b) no Title III program funds are used, and (c) adequate provisions are made to insure that the State agency is in no way relieved of its final responsibility. State advisory council services and Title III administrative funds may be delegated to the intermediate educational agency for the above endeavors.

2. Data Collection

Demographic data and other pertinent information available from a local or intermediate educational agency or educational center may be collected and utilized by the State educational agency to carry out its Title III responsibilities in the areas of statewide evaluation, needs assessment, and dissemination, provided that such activities are clearly coordinated by the State agency.

3. Regional Activities

Program funds may be used for regional project activities under a coordinated program and well-defined procedures established by the State educational agency. Such coordination will prevent duplication of effort by local or intermediate educational agencies. However, local or intermediate educational agencies or centers may not receive program funds for the purposes of needs assessment, evaluation, or dissemination activities beyond the geographical area served by each project.

4. Restriction of Title III Grantee Activities

Projects currently in operation which include components in the areas of needs assessment, evaluation, and dissemination should be analyzed by the U.S. Office of Education and the State educational agency to determine if any of these components extend beyond the geographical area directly served by the project. Projects found to have assessment, evaluation, or dissemination components which extend beyond their geographical area should be modified in order to prevent duplication of the statewide effort in these areas.

K. Suggested Project Numbering System

It is suggested that the following system be used for numbering Title III projects to bring about uniformity among the States:

State Number	Year Project Submitted	Project Number	Initial Grant(0) Continuations (1, 2)
25	68	0212	2

The numbers assigned to each of the States are as follows:

10 Alabama
11 Alaska
12 Arizona
13 Arkansas
14 California

15 Colorado
16 Connecticut
17 Delaware
18 District of Columbia
19 Florida

20 Georgia
21 Hawaii
22 Idaho
23 Illinois
24 Indiana

25 Iowa
26 Kansas
27 Kentucky
28 Louisiana
29 Maine

30 Maryland
31 Massachusetts
32 Michigan
33 Minnesota
34 Mississippi

35 Missouri
36 Montana
37 Nebraska
38 Nevada
39 New Hampshire

40 New Jersey
41 New Mexico
42 New York
43 North Carolina
44 North Dakota

45 Ohio
46 Oklahoma
47 Oregon
48 Pennsylvania
49 Rhode Island

50 South Carolina
51 South Dakota
52 Tennessee
53 Texas
54 Utah

55 Vermont
56 Virginia
57 Washington
58 West Virginia
59 Wisconsin

60 Wyoming
61 American Samoa
62 Canal Zone
63 Guam
64 Puerto Rico

65 Virgin Islands
66 Bureau of Indian Affairs
67 Trust Territory of the Pacific Islands

L. Maintenance of Fiscal Effort

The State Plan shall set forth policies and procedures for assuring that funds made available under Title III of the Act for any fiscal year will be used to supplement and, to the extent practical, increase (1) the fiscal effort which each local educational agency receiving Title III funds would have made, in the absence of such funds, for that fiscal year for educational purposes, and (2) the level of funds which each local educational agency receiving Title III funds would have made available, in the absence of such funds, for that fiscal year.

Fiscal effort by a local educational agency for educational purposes shall be determined by the State educational agency on the basis of the amount of expenditures per pupil from State and local funds; or in the event of a decrease of such expenditures, on the basis of the ratio between the total expenditures of the local educational agency from State and local funds and the wealth of the local educational agency as measured by the assessed valuation of taxable property, per capita income, or other such indicator.

CHAPTER THREE

LOCAL PROGRAM DEVELOPMENT AND OPERATION

I. PROJECT PROPOSAL SUBMISSION PROCESS

A. Dates

The State educational agency is required to establish and publicize dates for the submission of project applications by local educational agencies. The State may wish to establish several submission dates during the year or to limit dates to one or two per year. Before establishing submission dates, the State agency should give consideration to the funding and fiscal policies of the State, the school year calendar, the State's fiscal year, the anticipated funding level, and the Federal calendar for reviewing applications.

States may wish to consider using January or February as periods for submission of project applications from local educational agencies for the following reasons: information regarding appropriations is more likely to be available; considering time necessary for review, approval, and negotiation, the budget periods would then more nearly parallel budget development and staff recruitment in the local school district; funding near the end of a fiscal year would allow program administrators at the State level more latitude in funding from the prior fiscal year or the new fiscal year; and mid-year project termination, with its concomitant staff release problems would be alleviated.

B. Procedures

Each State Plan shall describe procedures through which the State will inform, stimulate, and advise local educational agencies to submit applications for projects under Title III of the Act which are consistent with the critical educational needs in the various areas of the State, and which are designed in consideration of the major criteria by which applications will be reviewed.

A State may wish to use the "letter of intent" system which permits the local educational agency to submit a letter indicating its intent to submit a formal proposal. The letter should include an abstract of the intended proposal.

C. Eligibile Applicants

1. Local Educational Agency

The only eligible applicants under Title III are local educational agencies as that term is defined. The term limits local educational agencies to public bodies and does not embrace private nonprofit corporations. A State or local educational agency must have title to and administrative control over equipment and facilities purchased with Title III funds; after the termination of Federal financial support, these facilities and equipment must continue to be devoted to the purpose for which the grant was given for the expected useful life of the equipment or, in the case of facilities, for a period of twenty years. A relinquishment of administrative control over such equipment or facilities to a private nonprofit corporation would call for reimbursement to the United States of their value at the time of relinquishment. While certain aspects of continued services may be carried out through a private corporation, the activities and services must be administered by or under the supervision of the applicant, and neither the Act nor the Regulations permit the complete transfer of the project to a private nonprofit corporation.

2. Junior Colleges and Technical Institutes

Participation in Title III programs or projects by students enrolled in junior colleges and technical institutes in a State shall be limited to participation in guidance, counseling and testing programs or projects.

3. Universities and Colleges

Universities and colleges which have administrative control and direction of elementary and secondary schools which are a part of the university itself may participate in the Title III program if the following criteria are met:

a. The college or university having administrative control and direction of the school is a public agency.

b. The school administered is an elementary or secondary school under State law.

c. The elementary and secondary school draws its students from the general public and not from a restricted group such as children of the faculty or other employees of the college or university.

If a college or university which meets the first criterion controls and directs a school which meets the other criteria, the college or university is eligible and is encouraged to apply for grants under Title III of the Elementary and Secondary Education Act. The college or university is then considered to be a local educational agency for the purposes of the program.

II. FUNDING PROCESS

A. Project Period

The State educational agency is required to formulate a general policy concerning the total period of time for which a project may be supported with funds under Title III (project period). In order to conserve funds for new projects, the State would want the project period generally not to exceed 3 years. The State's policy on project periods should emphasize the necessity for phasing out Federal support of local projects and for gradual incorporation of project activities into the regular school program.

B. Budget Period

The budget period is that period of time within the project period which is covered by a specific budget. Though a project may be tentatively approved for the entire project period, fiscal support for a program is given for each specific budget period (usually twelve months

C. General Level of Financial Participation

The general level of financial participation is the total amount of costs recommended by the State agency to support an approved project during the entire project period. This figure serves as a guide for the grantee in requesting funds for each budget period; however, the amount of actual grant awards is determined by anticipated needs, funds remaining from grant awards previously made to support the project, and the amount of money available for the Title III program as a result of the Congressional appropriation for the program.

D. Grant

A grant is that portion of the general level of financial participation awarded to support a project for a specific budget period. Each grant document used by a State educational agency should have specific terms and conditions which are attached to the grant document to assist the State in the development of the grant document. (See Grant Terms and Conditions in Appendix D.)

E. Continuation Grant

A continuation grant is the amount awarded for any budget period following the initial budget period. Continuation grants are negotiated near the end of each budget period.

F. Supplemental Funds

Supplemental funds may be awarded during any budget period if it is determined by the State educational agency that the funds approved under the grant award are insufficient to complete the activities budgeted for the period. Supplemental funds then become a part of the grant for that budget period. Requests for supplemental funds which would increase the general level of Federal financial participation should be approved only in rare circumstances.

III. BASIC CONCEPTS IN EDUCATIONAL ACCOUNTABILITY

The concept of educational accountability is focused upon the assurance of performance quality in the educational enterprise, through deliberate attention to specific factors in program (project) design and management. Although a central concern is the relationship of input to output, resources to results, the concept transcends mechanistic consideration of efficiency. The program (project) administrator is expected to place emphasis on planning for results as well as on assessment of results. The goals involved include the maximization of the educational experience of every member of our society and the realization of the ultimate responsibility of the educational enterprise for the resources entrusted to it by that society.

In an effort to promote the implementation of accountability in Title III program to a greater extent than has been accomplished heretofore, twelve factors have been identified as being critical to the process:

1. Community Involvement: the utilization of members of concerned community groups in appropriate phases of program (project) activity to facilitate: program (project) access to community resources; community understanding of program (project) objectivies, procedures, and accomplishments; and discharge of program (project) responsibilities to relevant community client, service, and support groups.

2. Developmental Assistance: the means for providing adequate resources in program (project) planning, implementation, operation, and evaluation by drawing upon community, business, industrial, labor, educational, scientific, artistic, social/welfare, and governmental agencies for expertise and services necessary to effective operations.

3. Needs Assessment: the identification of the educational needs of children in the cognitive, affective, and psychomotor domains of learning.

4. Change Strategies: the development of effective strategies for systematic change in the educational enterprise and the incorporation of the strategies in program (project) operations.

5. Management Systems: the adaptation of the systems approach, through such techniques as Management by Objectives, PPBS, PERT, CPM, to educational program (project) management at the local, State, and Federal levels.

6. Performance Objectives: the specification of program (project) objectives in a comprehensive, precise manner which indicates measures and means for assessing the degree of attainment of predetermined standards.

7. Performance Budgeting: the allocation of fiscal resources in accordance with program (project) objectives to be realized, rather than by objects or functions to be supported.

8. Performance Contracting: the arrangement for technical assistance in program (project) operations through contracts which condition compensation upon the accomplishment of specified performance objectives.

9. Staff Development: the determination of the nature and extent of staff development needed for the successful implementation of the accountability concept at the local, State, and Federal levels, and the design and conduct of indicated development activities.

10. Comprehensive Evaluation: the establishment of systems of performance control based on the continuous assessment of program (project) operational and management processes and resultant products.

11. Cost Effectiveness: the analysis of unit results obtained in relation to unit resources consumed under alternative approaches to program (project) operation, as a determinant in continued program (project) planning.

12. Program Auditing: a performance control system based upon external reviews conducted by qualified outside technical assistance, designed to verify the results of the evaluation of an educational program (project) and to assess the appropriateness of evaluation procedures for determining the effectiveness of program (project) operation and management.

For additional information concerning requirements for educational accountability, refer to the accountability manual published by the U.S. Office of Education.

IV. PROJECT DESIGN AND ACTIVITIES

A. Project Activities

The project proposal should define the entire scope of work that the applicant wishes to accomplish during the project period. A project may consist of one or a combination of the following major activities: planning programs, conducting one or more pilot programs, or conducting operational activities. Project functions may be described in general terms--planning programs, planning construction, conducting pilot programs, conducting operational programs, constructing facilities, and remodeling.

1. Planning Activity

In formulating a solution to a problem or in designing a new program, adequate planning is a vitally important function and a proper objective under Title III. Planning normally involves utilization of persons with expertise in the areas involved and the best material resources available to assist in the design of pilot and operational activities.

2. Pilot Activity

Conducting pilot programs to test the feasibility of innovative designs on a small scale can be a valuable part of development, provided that objectives and procedures are clearly stated and that results of the effort will give definite direction to a later demonstration of the innovation if it proves to have promise.

3. Operational Activity

An operational program is a full-scale demonstration of an educational innovation which should include measurable objectives, a comprehensive evaluation system, an effective management system, staff development activities, provisions for community involvement, and an adequate dissemination program.

The operational program should emphasize effective use of technology combined with new and better utilization of manpower rather than the acquisition of hardware or the extensive construction of new facilities.

Feasible alternatives to building new facilities might be the more effective use of existing facilities, the remodeling of existing structures, or the leasing of facilities.

B. Educational Centers

Title III, ESEA educational centers, including those serving large areas of the State, are considered to be projects. As such, these centers must meet all regulatory criteria, requirements and purposes of the title; they must be operated in an innovative and exemplary manner to accomplish stated, measurable objectives.

Moreover, such centers must be approved and continued in conformance with the purpose and intent of the title. Therefore, these Title III centers shall have a nonrenewable project period of 3 years and shall be subject to at least one impartial on-site evaluation per year to determine whether the center should continue to be funded.

C. Professional Staff Development

Professional staff development programs or inservice education activities involving Title III staff members and other appropriate school personnel are essential to meeting project objectives. Staff development programs should be directly related to enhancing those staff competencies and attitudes which will contribute to the attainment of project goals.

Title III project funds can be used for the employment of consultants, payment of stipends to participants, employment of substitute teachers, essential travel, and other direct costs necessary for the effective conduct of staff development programs.

The following are examples of criteria that could be used to determine the adequacy of professional staff development activities in a local project:

1. Extent to which the activities are part of an organized, continuing process with definitive objectives;
2. Extent to which the activities are based on the assessed needs of the local educational agency;
3. Extent to which plans for staff development activities involve training of personnel at each level in the local educational agency, i.e., decision makers, project staff, and teachers cooperating in projects; and
4. Extent to which staff development activities include provisions for determining effectiveness of those activities.

D. Representation of Cultural and Educational Resources of the Community

One of the unique features of the Title III program is the requirement that persons broadly representative of the cultural and educational resources of the area, including representatives of low-income groups, participate in all appropriate aspects of planning and conducting project activities. Such participation insures a wider community and cultural involvement in educational programs and fosters a more functional and useful implementation of talents and resources than may have previously existed. Moreover, community involvement will be an important determinant in the continuation of the project after Federal support has ended.

1. Teachers and Other School Personnel

Since the primary educational resource is the local educational agency, representative teachers and other school personnel whose professional activities would be affected by a particular project should be directly involved in all stages of its development. Because innovation must be accepted from "within," teachers and other school personnel should participate in all stages of the change process.

2. Other Cultural and Educational Resources

Other cultural and educational resources whose involvement should be sought may include the State educational agency, institutions of higher education, nonprofit private schools, educational laboratories and research and development centers, libraries, museums, musical and artistic organizations, educational radio and television stations, private foundations, community youth organizations, technical institutes, private industries, professional associations, religious and ethnic organizations, and community action agencies.

CHAPTER FOUR

FUNDING AND FISCAL CONSIDERATIONS

I. PAYMENT OF FUNDS TO STATES

A. Amounts

From the amounts allotted to the States, the Commissioner will, during the fiscal year, pay to each State, either in advance or by way of reimbursement, amounts equal to the total allowable expenditures necessary to carry out its State plan as approved. Funds under Title III of the Act to pay for amounts expended by a State in carrying out its State plan will be limited to the amount necessary to meet current disbursements.

B. Limitations

For any fiscal year ending prior to July 1, 1973, funds will be limited to that part of the plan that is approved as being in substantial compliance with the requirements of Title III of the Act. The remainder of the amount the State is eligible to receive may be made available to the State only if the unapproved portion of the State plan has been so modified as to bring it into compliance with the requirements of Title III of the Act and Regulations of this part.

C. Letter-of-Credit System

A "Letter-of-Credit System for Payment of Grants to States" has been sent to State Treasurers and Chief State School Officers by the U.S. Office of Education and should be expedited in the following manner: Upon the approval of a State educational agency's plan to participate in the ESEA Title III program and the issuance of a Notification of Grant Award, the agency shall proceed to use the Letter-of-Credit System to withdraw funds for the operation of its programs. Withdrawals of Federal cash by the State agency will be limited to the amount needed for current disbursement.

Upon receipt of notification of approval of a State plan to participate in the Title III program, the State may include its cash requirements for local grants and for State administration of the program in determining the amount of funds to be withdrawn in accordance with the Letter-of-Credit procedures. These funds will be deposited with the State Treasurer or other authorized officer. Upon the approval of a local agency's application, the State educational agency may advance to that agency funds in the amount needed for anticipated expenditures during the remainder of the current quarter. Therafter, monthly advances may be made to the local educational agency upon request.

II. STATE EDUCATIONAL AGENCY ACTIVITIES

A. Use of Funds

1. Obligations

Obligations of Federal funds for State administration and related activities will occur when the State educational agency issues purchase orders, executes contracts, or incurs obligations for services. Federal funds may not be obligated prior to the effective date of the State plan as approved by the U.S. Commissioner of Education, or later than June 30 of the fiscal period in which the Title III funds are made available for use by the State educational agency. Obligations will be recorded as charges against the appropriation available at the time the Federal funds are obligated for and will be adjusted to the amounts of the final net payments by the State. All adjustments will be recorded and reported as adjustments of the expenditures for the fiscal period in which the obligations were incurred.

As the Regulation (by implication) provides, for a contract for the performance of work (exclusive of personal services for employees of the State educational agency), the State educational agency may obligate federally granted funds as of a time other than "the time such services were rendered," i.e., at a time prior to that during which the performance of such contract is required.

The general rule relative to obligating a fiscal year appropriation for a payment to be made during the succeeding fiscal period is that the contract which imposes the obligation must be made during the fiscal period the appropriation is available for obligation and the need to supply that which is being contracted must have arisen within that fiscal period. (See Adm. Bulletin III, No. 2, dated April 9, 1969).

Thus, the award by a State educational agency during a fiscal year of a contract for services which will be rendered by a contractor in whole or in part in the subsequent fiscal year may be legally and properly chargeable to the current fiscal year funds allotted to the State for Section 303(b) activities if the services are to satisfy a current need, in the sense that the requirement for the services arises out of the current fiscal year activities. It would not be permissible, on the other hand, to contract for services in anticipation of needs expected to arise in the subsequent fiscal year if such services could as readily be obtained in that year at the time that they were in fact needed. In other words, the timing of a contract for services must be related, insofar as practicable, to the time at which such services will be required.

The following are examples of such a contracting procedure:

a. A consulting firm or a University is awarded a contract by a State educational agency to assess the educational needs in the State. The contract could not be written until after the State Plan was approved late in the current fiscal year. The resultant delay required that the study extend into the subsequent fiscal year. All services and related costs of the contractor could be charged to the current fiscal year funds for Section 303(b) activities.

b. A State educational agency contracts with the State University to conduct a workshop for improving the competencies of State educational agency employees engaged in ESEA Title III activities. The contract is written in June of the current fiscal year but because of the interference of school activities the workshop cannot be conducted during the current fiscal year but is planned for July or August of the subsequent fiscal year. The University's costs, including salaries of its staff for conducting the workshops would be chargeable to the current fiscal year Title III, Section 303(b), allotment. However, salaries, travel, and per diem of the SEA staff attending the workshop must be charged to the subsequent fiscal year ESEA allotment, inasmuch as they represent personal services to SEA.

2. Expenditures

The use of funds under Title III of the Act by the State for the administration of State plans, including administration of the guidance, counseling, and testing program, the activities of advisory councils, and the evaluation and dissemination activities will be determined on the basis of documentary evidence of binding commitments for the acquisition of goods or for the performance of work, except that funds for personal services, for services performed by public utilities, for travel, and for the rental of facilities shall be considered to have been expended as of the time such services were rendered, such travel was performed, and such rented facilities were used, respectively.

3. Liquidation of Obligations

An obligation entered into by the State educational agency and payable out of funds under Title III of the Act shall be liquidated by the end of the fiscal period following the fiscal year in which such funds are made available for use by that agency unless prior to the end of that following fiscal year the State educational agency determines that the time of liquidating a particular obligation should be extended and does so extend the time for liquidating the obligation and so notifies the Commissioner.

B. Records of Accountability and Documentation of Costs

1. Allowable Expenditures for State Educational Agency

Expenditures for which funds provided under Title III of the Act may be used are those which are (1) consistent with Title III of the Act, Regulations, and the provisions of the State plan, and reasonably necessary for State administration and related activities and (2) either direct costs which can be identified specifically with the Title III program benefited or indirect costs which are incurred for a common or joint purpose benefiting more than one cost objective but allocable to the Title III program on the basis of relative benefit received. These indirect costs are computed in accordance with the plan submitted by the State and approved by the Department of Health, Education, and Welfare pursuant to Bureau of Budget Circular No. A-87 and implementing instructions (A Guide for State Government Agencies OASC-6) of the Department.

Guidance on the preparation of indirect cost proposals is provided to the State educational agency in the form of an informational brochure. This brochure contains cost principles and sample proposal formats. The brochure, which may be purchased at nominal cost from the Superintendent of Documents, U.S. Government Printing Office, Washington, D. C. 20402, is A Guide for State Government Agencies OASC-6.

The Act includes the following specifications that Title III funds must be used to supplement and not to supplant:

> Whenever direct costs are determined to be supplanting and not supplementary, the associated indirect costs (computed and negotiated in accordance with Office of Management and Budget Circular No. A-87) are also deemed to be supplanting and not supplementary.

2. Proration of Staff Time

The proration of State educational agency staff time between the Title III program and other programs must be based upon the amount of time an individual actually devotes to each program and must be documented by an estimated statement of the time each employee will devote to the Title III program as well as a signed official statement of the time actually devoted to the program. These documents must be available at the time of audit to support claims for full-time State agency personnel who work part time in the Title III program.

3. Receipt of Material and Equipment Purchased

Although formal receiving reports are not necessary in most instances, invoices should be initiated to show that materials or equipment purchased with Title III funds were received in good condition and in the quantities indicated on the invoices.

4. Equipment Inventory

Each State educational agency shall maintain inventories of all equipment it has acquired with funds under Title III of the Act and costing $300 or more per unit, for the expected useful life of the equipment or until its disposition, whichever is earlier. The records of such inventories shall be kept for three years following the period for which such inventories are required to be made.

5. Maintenance of Local Financial Reports

The State agency must maintain all financial reports submitted to it by local educational agencies. State fiscal records should be sufficient to substantiate and document all amounts of Federal funds granted, obligated, and disbursed: (a) by specific project and program, separately from other Federal projects and programs; (b) by type of expenditure during that fiscal year including those involving the handicapped by type of handicap; and (c) by the dates of obligations and expenditures.

6. Maintenance of Records

Each State educational agency receiving a grant under Title III of the Act shall keep intact and accessible all records supporting claims for such Federal grants or relating to the accountability of the grantee for the expenditure of such grants (a) for 3 years after the close of the fiscal year in which the expenditure was made, if an audit by or on behalf of the Department has occurred by that time; or if an audit has not occurred by that time, such records shall be maintained until (b) the State educational agency has been notified of the completion of the Federal audit, or (c) five years after the end of the fiscal year in which the expenditure was made, whichever occurs first. The records involved in any claim or expenditure which has been questioned shall be further maintained until necessary adjustments have been made and such adjustments have been reviewed and approved by the U.S. Department of Health, Education, and Welfare.

7. Documentation of Consultant Services

Each State educational agency shall document consultant services and their effectiveness in the State's records so that interested persons can review and obtain the benefits of such information. It is important in the interests of effective control and better evaluation of consultant services that reports of such consultations be so documented.

C. Annual Financial Report

Each State agency shall submit, in accordance with procedures established by the Commissioner:

1. Following the end of any fiscal year, a report of the total expenditures made under the plan during that fiscal year, including a breakout of expenditures for the education of handicapped children by type of handicap, and

2. Such other reports as are periodically needed to account properly for funds.

The State's annual financial report must be submitted to the Commissioner by October 1 of each year. This report will serve as a basic financial document at the time of Federal audit and program review and as a basis for reporting to Congress.

D. Office of Education Services Available in the Areas of Fiscal Control, Accounting, and Audits.

Program and administrative personnel of the U.S. Office of Education may be available to State educational agencies, upon request, for technical advice and assistance in the areas of fiscal control, accounting, and audits. These specialists may be of assistance in the formulation of sound financial management practices which will enable agencies handling ESEA Title III funds to account readily for funds and to minimize fiscal adjustments resulting from Federal post-audits.

III. LOCAL PROJECT ACTIVITIES

A. Use of Funds

1. Obligations

The issuance of a grant award document by the State educational agency to a local educational agency, if made during the period in which the funds are available for obligation, will be regarded as an obligation of funds under Title III of the Act in the amount of the grant award. Federal funds so obligated will remain available for expenditure by the local educational agency during the period for which the grant was awarded. The obligation recorded by the State educational agency shall be adjusted when the grant award is amended and is determined to be at variance with amounts so expended by the local educational agency.

2. Expenditures

Federal funds shall be considered to be expended by the local educational agency on the basis of documentary evidence of binding commitments for the acquisition of goods or property, for the construction of school facilities, or for the performance of work; or, on the basis of a reservation of funds for administrative activities in connection with the completion of project activities, such as evaluation and auditing activities; except that the use of funds for personal services other than those for administrative activities for which such a reservation of funds has been made, for services performed by public utilities, for travel, and for rental of equipment and facilities shall be determined on the basis of the time at which such services were rendered, such travel was performed, and such rented equipment and facilities were used, respectively.

3. Liquidation of Obligations

Under the project period concept, the final payment for a previously reported obligation for a local project should be completed within a short period (about 90 days) after the end of the budget period. In the case of construction costs, however, the nature of the construction will determine the length of the payment period. Obligations incurred at the local level will be adjusted to the amounts of the actual net payments by the local agency when the payments are made. All such adjustments will be recorded and reported as adjustments of expenditures from the allotment available at the time the project was approved.

B. Funding Policy and Procedures

1. Proposed Budget

The applicant should provide an estimate of financial requirements for the support of the project by budget periods. Grantees should complete budget forms and should provide budget detail summaries for operational budget periods.

2. Negotiation of Grant

As soon as practicable after approval of a project by the State educational agency, the grants officer should be requested to negotiate a grant for the first budget period. Negotiation is that process by which a legal and mutually satisfactory grant arrangement is made between the applicant and the State educational agency. This process transcends a mere final examination of estimated costs.

The grants officer should collaborate with the program officers to reach agreement with the applicant concerning the project activities and financial support.

3. Funding Procedures

Approximately 90 days before the end of each budget period, the grantee should be requested to submit an application for a continuation grant. This application should reach the State educational agency about 60 days before the budget period's termination date. Subject to satisfactory progress toward the achievement of project goals, continuation grants should be negotiated prior to the expiration of each budget period.

Schedules activities not completed in one budget period which are rescheduled for the succeeding period should be included in the budget for that period to qualify for funds. Since program difficulties are frequently encountered during the initial budget period, this budgeting process is of critical importance to the continual funding of all project activities.

The grants officer, after negotiating with the grantee, should issue a grant award document for the succeeding budget period. The amount granted for the succeeding period should be the difference, if any, between the budget negotiated for the succeeding period and unexpended funds from the previous budget period. The grantee should be instructed to expend completely the remaining funds from the previous budget period before expending funds granted for the succeeding period. To qualify for Federal payment, the grantee should liquidate obligations within a short period (about 90 days) after the end of each budget period. A report of actual expenditures should be filed as soon as all obligations have been liquidated, but not later than the specified due date after the end of each budget period. The grant award for the succeeding budget period should be increased or decreased to reflect any difference between estimated and actual expenditures reported for the previous budget period.

4. Effective Date of Approved Project

The grantee should be cautioned not to obligate anticipated program funds prior to the effective date of an approved project. The effective date of an approved project is the date specified in the grant instrument, i.e., the Notification of Grant Award. The grant award instrument is executed by the grants officer on behalf of the State educational agency. Upon acceptance of the grant award, the applicant should be authorized to request funds consistent with the negotiated budget, the terms and conditions specified in the grant and his current requirements.

5. Documentation of Travel

The grantee should establish procedures for the submission of travel claims by travelers. The supporting documentation of travel should include those charges for the transportation of project personnel, their per diem allowances while in an authorized travel status, and other expenses incident to travel that are to be paid by the project either directly or by reimbursing the traveler. Receipts for allowable travel expenditures, when practicable to obtain them, will be maintained as supporting documentation.

6. Accounting for Travel Advances

Authorized cash advances for travel purposes must be documented and related to the actual expenses to support the final accounting for advances. It shall be the responsibility of the grantee to assure that the amount previously advanced is deducted from the total expenses allowed or that it is otherwise recovered. If the amount advanced is less than the amount of the travel voucher on which the advance is deducted, the traveler shall be paid the difference. In the event the advance exceeds the reimbursable amount, the traveler shall immediately refund such excess.

All claims for reimbursement of traveling expenses shall be submitted on reimbursement forms, noting data such as each expenditure at the time the expense is incurred, together with the date, the points of departure and destination, and the purpose of the trip.

The point in time when a travel expenditure occurs must be related to a specific budget period within the project period. Funds for travel are considered expended when the travel is performed and not as of the date the funds are committed. A payment to a travel agency in advance of expenditure action by the project is not an expenditure at the time the advance is made.

Under no circumstances can travel advances from funds available in one budget period be used for travel activity planned in a succeeding budget period. Similarly, except in situations where a reservation of funds is made for evaluation or auditing activities in connection with the closing of a project period, it is not possible to pay project personnel or consultants from funds available in one budget period for work to be performed in a succeeding period.

7. Control Over Grant Funds

Title III, ESEA funds distributed to a local educational agency should be deposited upon receipt thereof in an official bank account held by, and in the name of, the recipient local agency. The separate identity of all project transactions which involve the receipt and disbursement of Title III, ESEA, into and from this official account should be maintained. Federal grant funds are not to be deposited in personal checking or savings accounts. It would be wise to maintain a separate bank account for Federal Title III funds to assure their separate identity as required by the Regulations, but this is not a requirement.

The grantee must assure proper disbursement of, and accounting for, Title III funds through careful fiscal control and fund accounting procedures.

The State educational agency is responsible for strict enforcement of the banking requirement for safeguarding cash and for exercising adequate contral and separate accountability of Title III funds.

8. Grant-related Income

Occasionally, income is generated in connection with activities supported by Title III funds. Examples of grant-related incomes are as follows: (1) Sale of products or services, such as special tests developed through project activities; (a) fees received by the grantee organization or an employee for personal services performed in connection with, and during the period of, grant-supported activity; and (3) sale of items generated or produced as a consequence of a demonstration grant. The foregoing are illustrative examples and are not to be considered all-inclusive.

9. Disposition of Grant-related Income

The local educational agency, as the legal grantee, is accountable to the Office of Education for the Federal share of any grant-related income. Any such grant-related income shall be made available for purposes of Title III of the Act. If the income cannot be used, it is to be paid by the grantee to the U.S. Office of Education. (See Appendix E.)

10. Accounting Basis

All local agencies, including those using an accounting system other than an obligation system, will need to maintain an accounting of ESEA Title III funds on an obligation basis. Funds distributed to local agencies will be available for use with respect to obligations incurred by such agencies for an ESEA Title III project during the period for which the grant was awarded by the State agency.

11. Contracted Services

A grantee may enter into a cooperative agreement or contract for the provision of services under a project if the services, as well as the cooperating institution, orgainization, or agency, are acceptable to the State educational agency. Such a cooperative agreement or contract will be acceptable only if the State agency is assured that the grantee will retain the responsibility for supervision and administrative control of the project. Services which may be contracted are those which the grantee's regular staff cannot provide and which are not deemed appropriate as a continuing staff function. Under no circumstances may the entire project be contracted. The proposed terms of the agreement or contract may be submitted in the initial project proposal or as a project alteration.

A cooperative agreement or contract between the grantee and another organization to conduct a major portion of project activities or to share in its operation generally will provide, among other things, for:

a. Maintenance of separate accounts and records;

b. Adherence to Public Law 89-10, as amended, Title III Regulations, grant terms and conditions, and instructions issued by the State educational agency;

c. Submission of expenditure reports to the local educational agency;

d. Availability of records to representatives of the U.S. Office of Education and the State educational agency.

C. Records of Fiscal Accountability and Documentation of Costs

1. Records of Project Transactions

The State educational agency may prescribe such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of funds paid to local educational agencies. The local agency must maintain a record of transactions for each approved project, in a format which indicates exactly the nature of purchases made, the dates purchase orders were issued, and the dates and exact amounts of the final payments. The State may wish to devise a standard form for use by all local educational agencies to assure uniformity of records and reports.

2. Allowable Expenditures for Local Educational Agency

A claim for recovery of costs incurred under Title III must be adequately supported. In the case of indirect costs this support must be in the form of an indirect cost proposal. This proposal provides a basis for negotiating final settlement of indirect costs applicable to grants active during the period covered by the proposal and will normally serve to establish a funding rate for grants awarded after the proposal period.

Guidance on the preparation of indirect cost proposals is provided to grant recipients in the form of an information brochure. This brochure contains cost principles and sample proposal formats. The brochure, which may be purchased at nominal cost from the Superintendent of Documents, U.S. Government Printing Office, Washington, D. C. 20402, is A Guide for Local Government Agencies OASC-8.

The Act includes the following specifications that Title III funds must be used to supplement and not to supplant:

> Whenever direct costs are determined to be supplanting and not supplementary, the associated indirect costs (computed and negotiated in accordance with Office of Management and Budget Circular No. A-87) are also deemed to be supplanting and not supplementary.

3. Proration of Staff Time

The proration of local educational agency staff time between the Title III program and other programs must be based upon the amount of time an individual actually devotes to each program and must be documented by an estimated statement of the time each employee will devote to the Title III program as well as a signed official statement of the time actually devoted to the program. These documents must be available at the time of audit to support claims for full-time local agency personnel who work part time in the Title III program. When prorating staff time, Title III funds must always be used to supplement local funds; in no case can Title III funds be used to supplant local funds.

4. Receipt of Materials and Equipment Purchased

Though formal receiving reports are not necessary in most instances, invoices should specify that materials or equipment purchased with Title III funds were received in good condition and in the quantities indicated on the invoices.

5. Equipment Inventory

Each local educational agency shall maintain inventories of all equipment, regardless of its physical location, which it has acquired with funds under Title III of the Act and which costs $300 or more per unit. These inventories shall be kept for the expected useful life of the equipment or until its disposition, whichever is earlier. The records of such inventories shall be kept for three years following the period for which such inventories are required to be made.

6. Maintenance of Records

Each local educational agency receiving a grant under Title III of the Act shall keep intact and accessible all records supporting claims for such Federal grants or relating to the accountability of the grantee for the expenditure of such grants: (1) for three years after the close of the period during which the expenditures were made, if an audit by or on behalf of the Department has occurred by that time; or if an audit has not occurred by that time, such records shall be maintained until (1) the State educational agency has been notified of the completion of the Federal audit, or (2) five years after the end of the fiscal year in which the expenditure was made, whichever is earlier.

The records involved in any claim or expenditure which has been questioned shall be further maintained until necessary adjustments have been made and such adjustments have been reviewed and approved by the U.S. Department of Health, Education, and Welfare.

7. Documentation of Consultant Services

Each local educational agency shall document consultant services and their effectiveness in the grantee's records so that other local educational agencies and interested persons can review and obtain the benefits of such information. It is important in the interests of effective control and better evaluation of consultant services that reports of such consultations be so documented.

IV. EQUIPMENT AND MATERIALS

A. Acquisition

Equipment needed for the project will be acquired either by purchase or rental, whichever represents the more economical use of Federal funds. If equipment is rented, the applicant should consider securing a rental-purchase agreement to cover the possibility of eventual purchase.

To permit maximum use, equipment and materials should be ordered promptly after receipt of the grant award. Equipment should not be ordered when delivery cannot be made at least 60 days prior to the project's expiration date, unless exception is made by the State educational agency.

B. Bidding Procedures

Bidding for the purchase of equipment and materials will be conducted according to applicable State and local rules. In the absence of such rules, procedures established for purchases amounting to more than $1,000 should require (a) at least three quotations and (b) award to the lowest bidder or to the bidder with the most suitable equipment and materials.

C. Title of Equipment

1. General

Title to each item of equipment acquired pursuant to Title III, Elementary and Secondary Education Act of 1965, hereinafter referred to as "Title III equipment," is vested upon acquisition in a State or local educational agency and must remain so vested, subject to a continuing Federal interest, throughout the expected useful life of the item unless earlier final disposition of the item is made.

2. Transfer

Whenever administrative control of an item of Title III equipment is transferred from one local educational agency (LEA) to another LEA or to the State educational agency (SEA), title to that item also shall be transferred to the recipient agency. Under these circumstances, the SEA shall assure that all actions required by applicable State statutes and regulations are taken to effect timely transfer of the title to the recipient agency.

Whenever an SEA has administrative control of and title to an item of Title III equipment and transfers administrative control to an LEA, the SEA shall effect timely transfer of title to the recipient LEA.

D. Control of Equipment

Each item of Title III equipment shall remain, throughout its expected useful life, under the administrative control of the LEA responsible for implementing the Title III project for use in which it was acquired. However, administrative control of a given item of Title III equipment may be transferred to another LEA or may be assumed by the SEA whenever the SEA finds such action is warranted for effective control and use of the equipment.

Action to transfer administrative control of a given item of Title III equipment may be initiated either by the LEA exercising administrative control thereof or by the SEA. In every case, the prior written approval of the SEA is prerequisite to such a transfer. When such a transfer is effected, it becomes the responsibility of the LEA or SEA acquiring administrative control of the item of Title III equipment to assure that the item is utilized in strict accordance with the use limitations set forth in this manual.

E. Use of Equipment

Throughout the period of active Federal funding of a given Title III project, each item of Title III equipment acquired for use in that project shall be used during the expected useful life of the equipment or after the expiration of the project for purposes established for Title III, continually for purposes clearly within the approved scope of the project, unless earlier final disposition of the item is made.

The LEA or SEA exercising administrative control over each item is responsible for assuring full compliance with these requirements during and after the project period.

After expiration of the period of active Federal funding of a Title III project, another public or private nonprofit agency may be designated as the operational user of the equipment during the remainder of its expected useful life. Such action is permissible only when the designated agency is subject to the administrative control of the LEA exercising administrative control over the equipment, and when prior written approval is obtained from the SEA. or when the designated agency is subject to the administrative control of the SEA. The LEA or SEA exercising this administrative control remains responsible for insuring that each item is utilized continually in full accordance with the use limitations set forth in this manual.

Throughout the expected useful life of an item of Title III equipment, the utilization of it for any purpose other than those described above, even though such use or purpose is an educational one, requires, in every case, the prior written approval of the U.S. Office of Education. Each request for such approval will be initiated by the LEA or SEA exercising administrative control over the item. If the request is initiated by an LEA, it will be forwarded through the SEA, which will then transmit the request the Bureau of Elementary and Secondary Education, with a recommendation of approval or disapproval. The OE dicision in each case will be transmitted to the SEA, which agency, where appropriate, will transmit that decision to the LEA concerned.

F. Maintenance and Repair

Each State and local educational agency shall make reasonable provision for the maintenance and repair of equipment acquired with Title III funds, and shall be responsible for replacing or repairing (with State or local funds) equipment that is lost, damaged, or destroyed due to the negligence of the State or local agency.

G. Unauthorized Use of Equipment

Whenever, in the absence of prior written approval by the Office of Education, an item of Title III equipment is diverted to any use or purpose other than those described above, the fair market value of such item at that time must be treated as an unexpended balance of Federal (Title III) funds and must be refunded promptly to the Office. Such refund shall be made by the LEA or SEA exercising administrative control over the item of equipment in question at the time such item was utilized for any unauthorized purpose.

H. Disposition

1. Exchange

An item of Title III equipment may be exchanged for an item of like type or of a different type, provided that, throughout its expected useful life, the latter item is utilized in full accord with the specified use limitations set forth in this manual. In every case, prior written approval of the SEA is required for such an exchange. All provisions contained in this manual pertinent to title to, continuing Federal interest in, and administrative control of equipment apply fully to items acquired in exchange for items initially acquired under Title III.

2. Sale or Other Disposition

Whenever an item of equipment acquired under Title III or in exchange for such an item is sold or otherwise disposed of during the period of its expected useful life, the proceeds of such sale or other disposition or, if greater, the fair market value of the item at the time of sale or other disposition must be treated as an unexpended balance of Federal (Title III) funds and must be refunded promptly to the Office of Education. Such refund shall be made by the LEA or SEA exercising administrative control over the item at the time of its disposition.

V. GRANTS INVOLVING CONSTRUCTION

A. General Provisions

Where applications are submitted under Title III of the Act by local educational agencies for programs or projects which involve construction (anything less than $2,000 shall be considered remodeling), such construction shall be approved by the State educational agency only if the application contains the following assurances and provisions:

1. the applicant has or will have a fee simple or such other estate or interest in the site, including access thereto, as is sufficient to assure undisturbed use and possession of the facilities for not less than the expected useful life of the facility;

2. the final working drawings and specifications will be submitted to the State educational agency before the construction is approved and the project is placed on the market for bidding;

3. construction approved pursuant to the project proposal will be undertaken promptly;

4. in developing plans for school facilities, the local and State codes with regard to fire and safety will be observed, and in situations where local and State codes do not apply, recognized codes shall be observed;

5. in planning the construction of school facilities, the applicant will, in accordance with Executive Order No. 11236 of August 10, 1966 (31 F.R. 10663) and such rules and regulations as may be issued by the Department of Health, Education, and Welfare to

carry out its provision, evaluate flood hazards, in connection with such school facilities and, as far as practicable avoid the uneconomic, hazardous, or unnecessary use of flood plains in connection with such construction;

6. in planning the construction of school facilities, the applicant will, in accordance with Executive Order No. 11233 of July 2, 1966 (33 U.S.C. 466 note) and such rules and regulations as may be issued by the Department to carry out its provisions, evaluate the effect of construction and operation of such school facilities on water pollution and, as far as practicable, avoid such harmful effect as may exist;

7. architectural or engineering supervision and inspection will be provided at the construction site to insure that the completed work conforms to the approved plans and specifications;

8. representatives of the State educational agency will have access at all reasonable times, for the purpose of inspection, to all construction work being done with Title III funds, and the contractor will be required to facilitate such access and inspection;

9. the grantee will furnish progress reports and such other information relating to the proposed construction and the grant as the State educational agency may require;

10. except as otherwise provided in the regulations issued by the Administrator of General Services (41 CFR Part 101-17) to implement P.L. 90-480 (42 U.S.C. ch. 51), all school facilities designed, constructed or altered with funds made available under Title III of the Act shall be so designed, constructed, or altered, as to be in accordance with the minimum standards contained in "American Standard Specifications for Making Buildings and Facilities Accessible to and Useable by the Physically Handicapped" approved by the American Standards Association, Inc., (subsequently changed to the United States of America Standards Institute) October 31, 1961;

11. reasonable provision has been made, consistent with the other uses to be made of the facilities for areas in such facilities which are adaptable for artistic and cultural activities;

12. in developing plans for the construction, the applicant has given and will give due consideration to excellence of the architecture and design and to the inclusion of works of art, for which funds under Title III of the Act will be available for not in excess of one percent of the cost of the project; and

13. upon completion of the construction, title to the facilities will be in and retained by a State or local educational agency, and the building will be operated and used for the educational and related purposes for which it was constructed for a period of not less than 20 years.

B. Labor Standards

All laborers and mechanics employed by contractors or subcontractors on all construction and minor remodeling projects assisted under Title III of the Act shall be paid wages at rates not less than those prevailing on similar construction and minor remodeling in the locality as determined by the Secretary of Labor in accordance with the Davis-Bacon Act, as amended (40 U.S.C. 276a - 276-5) and shall receive overtime compensation in accordance with provisions contained in the Contract Work Hours Standards Act (40 U.S.C. 327-332), such contractors and subcontractors shall comply with the regulations in 29 CFR Part 3 and 29 CFR 5.5(a) and (c); and shall incorporate the nondiscrimination clause prescribed by Executive Order No. 11246 of September 24, 1965 (20 F. R. 12319) into any contract for construction work, or modification thereof, as defined in such Executive Order. State and local educational agencies undertaking the construction shall also comply with Section 301 of that Executive Order.

C. Manner of Construction

Construction undertaken with funds under Title III of the Act shall be functional, shall be undertaken in an economical manner consistent with the architectural and design considerations in subsections (A), (4), (9), (10), and (11) hereof, and shall not be elaborate in design or extravagant in the use of materials in comparison with school facilities of a similar type constructed in the State within recent years.

D. Open Bidding

All contracts for construction shall be awarded to the lowest qualified bidder on the basis of open competitive bidding; except that, if one or more items of construction are covered by an established alternative procedure, consistent with State and local laws and regulations, which is approved by the State educational agency and is designed to assure construction in an economical manner consistent with sound business practice, such alternative procedure may be followed.

1. Obligation of Funds for Construction

Funds made available for construction pursuant to a grant under Title III of the Act shall be obligated by the local educational agency within 12 months from the effective date of the project, except that a longer period may be allowed by the State educational agency upon a showing of good cause.

2. Recovery of Payments

If within 20 years after the completion of any construction undertaken pursuant to a grant under Title III of the Act (a) the owner of the facility shall cease to be a State or local educational agency or (b) the facility shall cease to be used for the educational and related purposes for which it was constructed, the United States shall be entitled to recover all or a portion of the Federal funds used to pay for such construction in accordance with the provisions of Section 308 of the Act.

3. Leasing Facilities

Where a State or local educational agency proposes to lease a facility with funds provided under Title III of the Act, it shall obtain the right to occupy and operate and, if necessary, to maintain and improve the premises to be leased during the proposed period of the project.

VI. FISCAL AUDIT CONSIDERATIONS

A. Federal Audit

The State agency's program expenditure records will be audited by the Federal Government to determine whether the State agency has properly accounted for Federal funds.

As a part of their regular activity of program and administrative review of State operations, staff members from the Office of Education will examine certain fiscal aspects of State administration, including status of project approvals, cash withdrawn, and disbursements made. Audits by Federal agencies, the U.S. Department of Health, Education, and Welfare, and the U.S. General Accounting Office normally will be limited to the State agency level. When State agency records are not adequate, Federal agency auditing may be extended to the local agencies. Such records shall be maintained and be accessible in accordance with Section 118.57 and shall be adequate to permit an accurate and expeditious audit of the State's Title III program including a breakout of expenditures for the education of handicapped children by type of handicap.

B. State Audit

It is the responsibility of the State educational agency to see that audits performed for local educational agencies are within State laws and are adequate to verify the following items:

1. Funds disbursed by the local agency were received and properly accounted for;

2. Payments reported by the local agency were actually made to vendors, contractors, and employees and conform to applicable laws and regulations, including procurement requirements;

3. Refunds, discounts, etc., were properly credited to the specific programs as reductions of the gross expenditures;

4. Payments are supported by adequate evidence of the delivery of goods or performance of services;

5. Obligations reported were actually incurred during the budget period and, upon liquidation, were properly adjusted;

6. The same item is not reported as an expenditure in two budget periods; e.g., obligations in one period and payments in another;

7. All obligations claimed under ESEA Title III were made for properly approved projects and are easily identifiable also with these projects;

8. State and local agency rules applicable to equipment records and controls were followed;

9. Costs, such as salaries, travel, etc., are correctly prorated;

10. The source of funds expended for federally reimbursed projects was stated correctly, and the same expenditures were not claimed under more than one Federal program;

11. Unexpended Federal funds advanced or overpaid were returned promptly or otherwise correctly accounted for; and

12. The audit report has been properly certified by the auditor to the effect that the procedures he used to verify and otherwise substantiate his findings are in accordance with the procedures outlined above.

The State agency should verify audits performed by it or other auditors either on a sampling basis by verifying the accuracy of project documentation at the State level or on a test-check basis at the local level. Local project audits should be filed at the State level and should be made available for use by the State agency and representatives of the U.S. Department of Health, Education, and Welfare. All such records and documents at the State offfice will be examined by program review teams and Federal auditors.

C. Local Audit

Project expenditure records should be audited annually. Such audits may be performed as a regular part of the local school audit procedures prescribed by State laws and regulations. Local agency audit programs should be developed in accordance with generally accepted auditing standards, with due consideration for Federal policies governing the use of grant funds as well as for State or local policies and procedures.

The local audit report should include separate financial schedules or statements identifying receipts and expenditures applicable to each specific project, with appropriate certification as to the validity of the report.

Reports and workpapers of local audits should be available for review by appropriate State and Federal auditors and should include a description of the method and extent of tests, examinations, and other techniques used in making the required verifications.

D. Audit Exceptions

An audit exception is a determination by an appropriate authority that an item questioned by the auditor is not properly chargeable to the program and should be disallowed. The U.S. Commissioner of Education determines the allowance or disallowance of items in U.S. Office of Education programs which are questioned by the auditor.

CHAPTER FIVE

REPORTING REQUIREMENTS FOR STATE EDUCATIONAL AGENCIES

I. INTRODUCTION

Title III of the Elementary and Secondary Education Act requires States to report annually on the program to the U.S. Commissioner of Education in order that he may determine "the extent to which funds provided . . . have been effective in improving the educational opportunities of persons in the areas served by the program or projects . . . and in the State as a whole, including reports of evaluations made in accordance with objective measurements." The title also requires State advisory councils to prepare reports of their activities, recommendations, and evaluations for the Commissioner and the President's National Advisory Council on Supplementary Centers and Services. These reports are reviewed and summarized by the U.S. Office of Education and the National Advisory Council for their required annual reports on the program to the President and the Congress, which are due in January of each year.

To carry out these responsibilities, the U.S. Office of Education has designed the following three reporting forms: "State Management Report," "State Advisory Council Activities Report," and "Financial Information Report." Four (4) copies of each of these reports should be sent by October 1 to the Division of Plans and Supplementary Centers, U.S. Office of Education, 400 Maryland Avenue, SW., Washington, D. C. 20202.

In addition, each State Coordinator will determine the reporting requirements for local educational agencies within its own State. Detailed statistical information on project activities will be collected from the local applicants through the Consolidated Program Information Report, which was jointly developed by the U.S. Office of Education and selected State agency representatives.

II. THE ANNUAL REPORT

The State educational agency shall make an annual report containing information including copies of approved project applications required by the Commissioner to carry out his functions under Title III. This annual report will provide a basis for determining the extent to which funds provided under Title III have been effective in improving the educational opportunities of persons in the areas served by programs or projects supported under the State Plan and in the State as a whole. The annual report shall include information on education of the handicapped, evaluations made in accordance with objective measurements to determine the extent to which critical educational needs identified in the State plan have been met, and an evaluation of the effectiveness of projects funded for that fiscal year under Title III. The State shall also keep such records and afford access thereto as the Commissioner may find necessary to assure the correctness and verification of such reports.

The following annual report represents the areas and scope of activities to be reported to the Commissioner

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

STATE EDUCATIONAL AGENCY ANNUAL REPORT ON ESEA, TITLE III

PART I - STATE MANAGEMENT OF TITLE III

TO BE COMPLETED BY STATE EDUCATION AGENCY

FORM APPROVED
O.M.B. NO. 51-R0727

STATE

FISCAL YEAR ENDING	REPORT PREPARED BY *(Type name and title)*	SIGNATURE OF PERSON PREPARING REPORT	DATE PREPARED
June 30, 197_			

SECTION I - PERSONNEL *(Staff, Consultants, and Contractors)*

A. STATE ESEA TITLE III PROGRAM STAFF

1. REPORT IN EACH CATEGORY THE NUMBER OF STATE DEPARTMENT STAFF WHO WERE PAID FROM ESEA TITLE III FUNDS IN THE FISCAL YEAR *(See instructions)*

STAFF *(a)*	NUMBER OF POSITIONS ENUMERATED IN STATE PLAN *(b)*	NUMBER OF PERSONS EMPLOYED FULL-TIME *(c)*	NUMBER OF PERSONS EMPLOYED PART-TIME *(d)*	FULL-TIME EQUIVALENT OF PART-TIME PERSONS *(e)*
PROFESSIONAL Administration				
Evaluation				
Dissemination				
Needs Assessment				
Fiscal				
Technical and Support				
Supervision/Leadership (G.C.T.)				
Other				
NONPROFESSIONAL				
TOTAL				

COMMENTS

2. REPORT, BELOW, NAMES OF STATE DEPARTMENT STAFF ASSIGNED TO TITLE III *(See Instructions)*

SURNAME *(a)*	TITLE *(b)*	FUNCTION *(See staff categories in column (a) above)* *(c)*	PERCENT OF FTE TIME SPENT IN ESEA TITLE III ACTIVITIES *(d)*	PERCENT OF SALARY PAID BY ESEA TITLE III *(e)*

OE FORM 4462, 10/71

SECTION I - PERSONNEL *(Staff, Consultants, and Contractors) (Continued)*

3. STAFF DEVELOPMENT ACTIVITIES OF ONE OR MORE DAYS DURATION

STAFF (a)	TOTAL NUMBER OF PARTICIPANTS *(Unduplicated)* (b)	NUMBER OF WORKSHOPS, CONFERENCES AND SEMINARS HELD, AND OTHER TYPES OF TRAINING			
		DISSEMINATION (c)	EVALUATION (d)	COMBINATION OF DISSEMINATION & EVALUATION (e)	OTHER *(Specify type)* (f)
STATE EDUCATION AGENCY 1. Title III and State Advisory Council Members					
2. Other State Staff Members					
LOCAL EDUCATION AGENCY 3. Title III Project Staff					

B. OUTSIDE CONSULTANT SERVICES TO THE STATE ESEA TITLE III OFFICE

TYPE OF SERVICES (a)	PAID BY ESEA TITLE III				
	NUMBER OF CONSULTANTS ENGAGED (b)	NUMBER OF MAN-DAYS EMPLOYED (c)	COST OF CONSULTANT FEES (d)	COST OF TRAVEL, PER DIEM, ETC. (e)	TOTAL CONSULTANT SERVICES PAID BY TITLE III *(Col. d + e)* (f)
Administration			$	$	$
Evaluation			$	$	$
Dissemination			$	$	$
Needs Assessment			$	$	$
Fiscal			$	$	$
Technical and Support			$	$	$
Supervision/Leadership *(G.C.T.)*			$	$	$
Other *(Specify)*			$	$	$
			$	$	$

COMMENTS

C. CONTRACTS AND CONTRACTORS

1. TABULATE THE STATE'S USE OF CONTRACTORS TO CARRY OUT SPECIFIED TASKS, SUCH AS NEEDS ASSESSMENT, DISSEMINATION, EVALUATION, AND OTHER OPERATIONS

TYPE OF SERVICE (a)	AMOUNT OF CONTRACT *(Dollars)* (b)	TERM OF CONTRACT *(Month and year)* (c)	END PRODUCT (d)
Administration	$		
Evaluation	$		
Dissemination	$		
Needs Assessment	$		
Fiscal	$		
Technical and Support	$		
Supervision/Leadership *(G.C.T.)*	$		
Other *(Specify)*	$		
	$		

COMMENTS

SECTION II - STATE ADVISORY COUNCIL

A. NUMBER OF MEETINGS HELD BY STATE ADVISORY COUNCIL	
B. NUMBER OF DAYS STATE ADVISORY COUNCIL MET	

C. CHECK THE MOST SERIOUS PROBLEMS ENCOUNTERED BY THE ADVISORY COUNCIL DURING THIS FISCAL YEAR:

☐ LOCAL PROJECT DESIGN
☐ PROJECT REVIEW AND APPROVAL
☐ EVALUATION/MONITORING
☐ STATE PLAN DEVELOPMENT
☐ DISSEMINATION/REPORTING
☐ POLICY DEVELOPMENT
☐ NEEDS ASSESSMENT
☐ OTHER *(Specify)*

WHAT IS YOUR ASSESSMENT OF THE COUNCIL'S GENERAL EFFECTIVENESS AND ITS EFFECTIVENESS IN EACH OF THE ABOVE AREAS IN WHICH THEY PARTICIPATED? *(Comments) (If additional sheets are needed, identify as Section II)*

SECTION III - EVALUATION AND MONITORING

A. TOTAL NUMBER OF ACTIVE PROJECTS DURING FISCAL YEAR	NUMBER OF PROJECTS VISITED AT LEAST ONCE IN FISCAL YEAR		NUMBER OF PROJECT PERSONNEL TRAINED BY STATE *(Sessions lasting more than one day)*
	BY STAFF	BY MEMBERS OF STATE ADVISORY COUNCIL	
(a)	*(b)*	*(c)*	*(d)*

DESCRIBE THE ACTIVITIES UNDERTAKEN BY THE STATE DEPARTMENT TO EVALUATE LOCAL PROJECTS, AND DESCRIBE THE COMPOSITION OF VISITING TEAMS OR OTHER TYPES OF ON-SITE EVALUATION *(Comments) (A general description, not a project-by-project description. If additional sheets are needed, identify as Section III-A)*

B. BASED ON REVIEWS OF EVALUATION AND ON-SITE MONITORING OF LOCAL PROJECTS, CLASSIFY YOUR ACTIVE PROJECTS INTO THE FOLLOWING CATEGORIES

NUMBER OF PROJECTS EXCEEDING EXPECTATIONS *(a)*	NUMBER OF PROJECTS MEETING EXPECTATIONS *(b)*	NUMBER OF PROJECTS WITH DISAPPOINTING RESULTS TO DATE *(c)*	NUMBER FOR WHICH PROGRESS OF PROJECTS NOT DETERMINED *(d)*	TOTAL *(e)*

COMMENT ON PROBLEMS, IF ANY *(If additional sheets are needed, identify as Section III.B)*

SECTION IV - ALLPROJECT APPLICATIONS AND TERMINATIONS DURING FISCAL YEAR

A. TOTAL NUMBER OF APPLICATIONS	INITIAL APPLICATION		CONTINUATION APPLICATION	
	NUMBER	AMOUNT GRANTED *(Dollars)*	NUMBER	AMOUNT GRANTED *(Dollars)*
(a)	*(b)*	*(c)*	*(d)*	*(e)*
1. Submitted		$		$
2. Approved		$		$

B. GUIDANCE AND COUNSELING PROJECTS

1. Is your State operating its Guidance and Counseling program under the modified *(8 criteria)* approach? ☐ YES ☐ NO

2. If "YES", indicate the number of guidance and counseling projects	NUMBER SUBMITTED	NUMBER APPROVED
3. Indicate the number of guidance and counseling projects using the total criteria approach	NUMBER SUBMITTED	NUMBER APPROVED

C. NUMBER OF PROJECTS TERMINATED DURING FISCAL YEAR *(a)*	NUMBER OF TERMINATED PROJECTS IN B.*(a)* CONTINUED BY APPLICANT IN SOME FORM DURING FISCAL YEAR AFTER FEDERAL FUNDS EXPIRED *(b)*	NUMBER OF OTHER SCHOOL DISTRICTS REPLICATING ONE OR MORE TITLE III PROJECTS DURING FISCAL YEAR *(c)*

WHAT METHODS ARE BEING USED TO DETERMINE THE EXTENT TITLE III PROJECTS ARE BEING ADOPTED OR ADAPTED BY OTHER SCHOOLS? *(Comments) (If additional sheets are needed, identify as Section IV.C)*

D. LIST THE STATE'S CRITIAL EDUCATIONAL NEEDS AS IDENTIFIED IN THE STATE PLAN AND INDICATE THE NUMBER OF TITLE III PROJECTS WHICH ARE PRIMARILY DESIGNED TO DEMONSTRATE A SOLUTION TO CRITICAL NEEDS *(Do not list the guidance and counseling projects funded under the modified (8 criteria) approach)*

STATE'S CRITICAL NEEDS *(a)*	NUMBER OF PROJECTS IN EACH NEED AREA *(b)*	AMOUNT GRANTED DURING FISCAL YEAR *(c)*
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$
		$

IF YOUR ACTIVE PROJECTS ARE NOT IN YOUR NEEDS AREAS, EXPLAIN WHY *(If additional sheets are needed, identify as Section IV.D)*

SECTION IV - ALL PROJECT APPLICATIONS AND TERMINATIONS DURING FISCAL YEAR *(Continued)*

E. TABULATE INTO THE PROGRAMS IDENTIFIED BELOW, ALL PROJECTS ACTIVE DURING THE FISCAL YEAR *(Figures should be unduplicated) (See instructions)*

PROGRAMS (a)	NUMBER OF PROJECTS		ESTIMATE NUMBER OF STUDENTS SERVED (d)	AMOUNT GRANTED FOR FISCAL YEAR (e)
	SINGLE COMPONENTS (b)	MULTIPLE COMPONENTS (c)		
Reading				$
Environment/Ecology				$
Equal Educational Opportunity				$
Model Cities *(Urban, Inner-City)*				$
Gifted				$
Handicapped				$
Guidance and Counseling				$
Drug Education				$
Early Childhood Education				$
Other Programs				$

F. NUMBER OF STUDENTS SERVED BY TARGET POPULATIONS *(Figures may be duplicated)*

STUDENTS (a)	PROJECTS FOR INDIANS (b)	PROJECTS FOR MIGRANTS (c)	PROJECTS FOR DISADVANTAGED (d)	PROJECTS FOR HANDICAPPED (e)	PROJECTS FOR EARLY CHILDHOOD EDUCATION (f)	PROJECTS FOR OTHER TARGET POPULATIONS *(Specify)* (g)
Number of Students						

G. NUMBER OF PUBLIC AND NONPUBLIC SCHOOL STUDENTS, TEACHERS, AND COUNSELORS PARTICIPATING

SCHOOLS	DIRECT PARTICIPATION						INDIRECT PARTICIPATION					
	STUDENTS		TEACHERS		COUNSELORS		STUDENTS		TEACHERS		COUNSELORS	
(a)	ELEMENTARY (b)	SECONDARY (c)	ELEMENTARY (d)	SECONDARY (e)	ELEMENTARY (f)	SECONDARY (g)	ELEMENTARY (h)	SECONDARY (i)	ELEMENTARY (j)	SECONDARY (k)	ELEMENTARY (l)	SECONDARY (m)
Public												
Nonpublic												

H. RURAL/URBAN DISTRIBUTION OF PUBLIC AND NONPUBLIC STUDENTS IN DIRECT PARTICIPATION

1. NUMBER OF STUDENTS FROM RURAL AREAS	2. NUMBER OF STUDENTS FROM URBAN AREAS	3. TOTAL *(Equals number reported Section G columns (b) and (c))*

SECTION V - DISSEMINATION ACTIVITIES

A. SUMMARY OF STATE DISSEMINATION ACTIVITIES (a)	RANK IN ORDER OF IMPORTANCE (b)	MAINLY FOR PUBLIC *(Number)* (c)	MAINLY FOR EDUCATORS *(Number)* (d)	EQUALLY FOR BOTH *(Number)* (e)
Conferences, Workshops on Projects				
T.V. Programs				
Radio Programs				
Publications Distributed				
Dissemination Studies Conducted				
Articles Printed in Journals and Newspapers				
On-site Demonstrations Conducted				
Demonstration Conferences				
Visits Arranged				
Films and Filmstrips Produced				
Personnel Inter-changes				
Project Personnel Trained for Dissemination by State *(Sessions of more than one day)*				
Other *(Specify)*				

B. Describe your most successful dissemination activities undertaken for each of the following three stages of the adoption process:

1. To create ***awareness*** of projects' progress and outcome *(the audience is exposed to the innovation but lacks complete information about it).*
   a. Public in general.
   b. Educators *(such as professional groups, school administrators, teachers).*
2. To stimulate and create an active ***interest*** in projects' outcome *(the audience becomes interested in the new idea and seeks additional information about it).*
3. To provide personal opportunities for ***evaluation*** of the projects' outcome by potential adopters *(the audience mentally applies the innovation to his present situation and future anticipated situation).*

C. Prepare a one-page abstract on each project active during the fiscal year. *(Use attached form).*

D. ***Submit*** two copies of each ***initial approved*** project proposal funded this fiscal year. *(For use in ERIC)*. *(Do not submit Applications for Continuation).*

E. Submit one copy of each end-of-project evaluation report. *(For use in ERIC.)*

F. Prepare and attach an annotated bibliography of publications and films ***developed by the State Educational Agency*** in this fiscal year in the course of administering, evaluating, assessing and disseminating Title III. *(Send one copy of each.)*

G. Following the item example in instructions, prepare an annotated bibliography on instructional or curriculum materials produced by the projects and identified by the State as of significant value to other schools which may be considering a similar program. *(Attach the bibliography as an appendix. Also send to the U.S. Office of Education one copy of the chosen written materials for use in ERIC and for national reference.)*

H. Prepare a listing for each film or audiovisual presentation developed this fiscal year by a project that is technically good and professionally significant. *(See instructions for example.)*

I. Identify by project name, project number, school district, and address, the State's most exemplary projects, using the criteria in the instructions. In addition, nominate the ***one*** most exemplary handicapped project.

J. List each of the dissemination objectives stated in the State Plan, and give evidence of the degree of success reached in attaining each objective.

SECTION V - DISSEMINATION ACTIVITIES *(Continued)*

(Continuation Sheet for Section V., Item C.)

PROJECT ABSTRACTS *(ESEA, Ttitle III)*	STATE	**TOTAL PROJECT PERIOD**	FROM *(Month and year)*	TO *(Month and year)*	PROJECT NO.

NOTE: If project involves handicapped children and/or personnel working with handicapped children who are paid from Title III funds, complete the information on the back of this form.

TITLE OF PROJECT	GRANTEE

PROJECTED FUNDING LEVEL FOR PROJECT PERIOD	19__ $	19__ $	19__ $	19__ $	19__ $	19__ $

TARGET POPULATION

PARAGRAPH DESCRIPTION

MAJOR OBJECTIVES

ACTIVITIES TO ACHIEVE OBJECTIVES

EVALUATION STRATEGY

EVALUATION FINDINGS

SECTION V - DISSEMINATION ACTIVITIES *(Continued)*

K. HANDICAPPED PROJECT PARTICIPATION ONLY - ESEA TITLE III

1. HANDICAPPED CHILDREN SERVED, PERSONNEL PAID, AND IN-SERVICE TRAINING RECEIVED WITH ESEA TITLE III FUNDS

TYPE OF HANDICAPPED CHILDREN SERVED*	NUMBER OF CHILDREN SERVED					FULL-TIME EQUIVALENCE OF PROJECT PERSONNEL PAID WITH TITLE III FUNDS				PERSONNEL RECEIVING IN-SERVICE TRAINING WITH TITLE III FUNDS			
	9-5 YEARS	6-12 YEARS	13-18 YEARS	19 & OVER	TOTAL	TEACHERS	TEACHER AIDES	OTHER	TOTAL	TEACHERS	TEACHER AIDES	OTHER	TOTAL
(a)	*(b)*	*(c)*	*(d)*	*(e)*	*(f)*	*(g)*	*(h)*	*(i)*	*(j)*	*(k)*	*(l)*	*(m)*	*(n)*
(1) TMR													
(2) EMR													
(3) HH													
(4) DEAF													
(5) SI													
(6) VI													
(7) ED													
(8) CR													
(9) LD													
(10) OHI													
(11) **TOTAL**													

2. NUMBER OF HANDICAPPED CHILDREN SERVED WHO ATTEND NON-PUBLIC SCHOOLS	

3. DISTRIBUTION BY ETHNIC GROUPS

POPULATION *(a)*	NEGRO *(b)*	INDIAN *(c)*	ORIENTAL *(d)*	SPANISH SURNAME *(e)*	WHITE *(Other than Spanish surname)* *(f)*	OTHER *(g)*	TOTAL *(h)*
Student Participants							

4. CHILDREN RECEIVING SERVICES - DISTRIBUTION BY DEMOGRAPHIC AREA

CATEGORY	NUMBER
(1) Urban Areas *(over 50,000)*	
(2) Rural Areas *(under 2,500)*	
(3) Other Demographic Areas *(from 2,500-50,000)*	
(4) **TOTAL** *(Sum of lines (1), (2), and (3))*	

INSTRUCTIONS

1. **CHILDREN SERVED** – Enter in the appropriate columns b, c, d, and e an unduplicated count of children served by type of primary handicap *(in public and non-public schools)* and by age group who received direct instructional or related services with Title III funds. This count should include all handicapped children *(1)* who received direct services from personnel paid with Title III funds and/or *(2)* who received substantial benefit as a result of the purchase or projects equipment or the provision of significant in-service training of personnel with Title III funds. Do not include handicapped children who received only incidental services, such as preliminary vision screening or audiological testing, etc. Column f should equal columns b, c, d, and e.

   PROJECT PERSONNEL – Enter in the appropriate columns g, h, and i corresponding with the primary type of handicapped children served a figure representing an unduplicated count of the full-time personnel plus the full-time equivalency of part-time personnel paid from Title III funds. Full-time personnel are those personnel who were assigned to Title III project activities 40 hours or more per week *(or the number of hours in a regular work week, as determined by the State or local education agency)*. They may be school year, summer program, or 12-month personnel. Column j should equal columns g, h, and i.

   IN-SERVICE TRAINING – Enter in the appropriate columns k, l, and m corresponding with primary type of handicapped children served an unduplicated count of all personnel who receive in-service training with Title III funds. Column n should equal columns k, l, and m.

2. **NON-PUBLIC SCHOOLS** – Of the total number of handicapped children served with Title III funds *(1.(11), (f))*, indicate the number who attended non-public schools.

3. **DISTRIBUTION BY ETHNIC GROUPS** – Enter in the appropriate columns b, c, d, e, f, and g an undiplicated count of the handicapped children served with Title III funds by ethnic group membership. Column h should equal columns b, c, d, e, f, and g.

4. **DISTRIBUTION BY DEMOGRAPHIC AREAS** – Self-explanatory.

---

* **TMR** – Trainable Mentally Retarded; **EMR** – Educable Mentally Retarded; **HH** – Hard of Hearing; **SI** – Speech Impaired; **VI** – Visually Impaired; **ED** – Emotionally Disturbed; **CR** – Crippled; **LD** – Learning Disabled; **OHI** – Other Health Impaired

A. Describe specific administrative problems, if any, which could be eased by Federal or administrative action. Make specific recommendations.

B. What do you consider to be the major contributions of your Title III program to education in your State? Cite examples and evidence.

C. Describe changes in areas such as State goals, management, program planning and evaluation, State department organization, etc., which have taken place in the State Education Agency as a result of ESEA Title III.

D. Describe State level supervisory and leadership activities for guidance, counseling, and testing which were carried out with program funds.

1. Program development and dissemination.

2. Coordination with other pupil personnel services and other Federal, State, and community resources, both within and outside the school setting.

3. Conferences, publication, pilot or demonstration programs, significant studies and investigations.

4. Significant guidance needs, problems, trends and developments in your State.

E. Submit an organizational chart showing the placement and relationship of guidance, counseling, and testing within the SEA.

F. Complete the following table relating to the State Plan testing program.

TYPES OF TESTS	TESTING EXPENDITURES		NUMBER OF PUPILS SERVED	
	PUBLIC	NONPUBLIC	PUBLIC	NONPUBLIC
Achievement	$	$		
Scholastic Aptitude	$	$		
Multifactor	$	$		

G. Describe guidance and counseling administrative activities carried out with funds available to the State under Section 303(c) of the Act.

INSTRUCTIONS FOR COMPLETING
STATE EDUCATIONAL AGENCY ANNUAL REPORT ON ESEA, TITLE III

(OE Form 4462)

SUBMISSION: On October 15, of each Fiscal year, submit 4 copies to U.S. Office of Education, Director, Division of Plans and Supplementary Centers, 400 Maryland Avenue, SW, Washington, D. C. 20202

SECTION I - PERSONNEL *(Staff, Consultants, and Contractors)*

A. **State ESEA Title III Program Staff** *(Report only those persons paid from ESEA Title III funds)*

1. **Number of Professional and Nonprofessional Staff:**

Administration - Include those professionals who are responsible for program management.

Evaluation - Staff with expertise in the areas of evaluation and project design.

Dissemination - Personnel responsible for dispensing information about the preparation and submission of projects; keeping districts informed concerning innovations in education; serving as a clearing-house of educational information; etc.

Needs Assessment - Personnel responsible for State-wide assessment of needs.

Fiscal - Persons responsible for maintaining records of financial operations and transactions and performing fiscal control activities, having assignments such as: chief accountant, senior accountant and auditor.

Technical and Support - Include such personnel as statisticians and technicians.

Supervisory/Leadership *(G.C.T.)* - Staff assigned to supervisory/leadership functions for guidance, counseling and testing.

Other Professional - Include regular staff consultants, State agency research staff and statistical assistants.

Nonprofessional - Include persons in the above categories who do not qualify as professionals. Also secretarial and clerical personnel, account clerks, bookkeeper and business machine operators.

Column (c), Number of Persons Employed Full-time - Report those persons who are assigned full-time and paid by ESEA Title III.

Column (d), Number of Persons Employed Part-time - Report those persons employed full-time, by the State Department, and those persons who are paid only part of their salary by ESEA Title III.

a. If a full-time person is performing functions in more than one staff position, enter 1 in column (d) in each appropriate category, enter the full-time-equivalent of the time spent in each category in column (e), and explain in the comments, or

b. If persons who are hired only part-time and receive salary from ESEA Title III, or

c. If positions are vacated and subsequently filled, report each person involved once in column (d) and report the total full-time-equivalent of all persons who filled the position and list each one in A.2.

2. **Names of State ESEA Title III Staff** - Staff reported in columns (d) and (e) should relate to those staff reported in columns (c) and (d) of Section I, item A.1.

3. **Staff Development Activities of one or more days duration** - Enter the number of all in-service education activities supported wholly or in part by ESEA Title III funds, including those planned or conducted by ESEA Title III supervisory or related services personnel.

B. **Outside Consultant Services to the State ESEA Title III Office - Consultant** - A person other than a State educational agency employee who gives professional or technical advice and assistance.

C. **Contracts and Contractors - Contractor** - A firm or company or other educational institution performing services which will result in a tangible product, such as: dissemination materials *(slides, pamphlets, films, filmstrips)*; conducting seminars or training sessions for needs-assessment personnel, conducting needs-assessment studies; writing of evaluation reports; etc.

SECTION II - STATE ADVISORY COUNCIL *(Complete as indicated)*

SECTION III - EVALUATION AND MONITORING

A. **Column (d), Number of Project Personnel Trained by State** - Include those persons being trained in Evaluation and Monitoring practices. *(Exclude the instructors)*

B. **Column (a) through (e)**, give the number of active projects in each status category. The total number should equal the number of active projects reported in item A, column (a).

Column (d), Progress of Projects Not Determined - A project which was funded too late in the fiscal year for appraisal would be included here.

SECTION IV — ALL PROJECT APPLICATIONS AND TERMINATIONS DURING FISCAL YEAR

C. **Number of Projects Terminated** - Refers only to projects which are no longer receiving Federal funding. Such projects normally would have been in operation for approximately 3 years prior to termination of Federal funding.

E. Report the total number of projects as reported in Section III.A.(a).

Report in column (b) the number of projects with single components. In columns (d) and (e) enter the total number of pupils served and the amount granted for fiscal year.

Report in column (c) the number of projects with multiple components *(these figures may be duplicated)* and prorate in columns (d) and (e) the number of pupils and amount of funds for the projects in column (c).

F. **Number of Students Served by Target Populations** - *(Complete as indicated)*

G. **Number of Public and Nonpublic School Students, Teachers, and Counselors Participating**

Direct Participation - Enter the number of different persons participating in activities involving face-to-face interaction of pupils and teachers *(in case of in-service training, teachers, and instructors)* designed to produce learning, in a classroom, a center or mobile unit; or receiving other special services.

Indirect Participation - Enter the number of different persons visiting exhibits, demonstrations, museum displays; using materials or equipment developed or purchased by the project; attending performances of plays, symphonies, etc.; viewing television instruction in a school, a center, or home; or participating in other similar activities. Carefully prepared estimates are acceptable.

Elementary – For reporting purposes only, consider elementary as being Pre-kindergarten through Grade 6.

Secondary – For reporting purposes only, consider secondary as being Grades 7 through 12.

H. **Rural/Urban Distribution of Public and Nonpublic Students in Direct Participation** *(Complete as indicated)*

SECTION V – DISSEMINATION ACTIVITIES

G. **Item Example:**

Safety in the General Shop
OE-67-4401 Grades 9-12 Workbook

A discussion of how to work safely in the general shop. Safety precautions to be used in working with wood, in working with sheet metal and in welding are covered.

Al Segal, Hughson Union High School, Hughson, Calif. 95326

H. **Item Example:**

Genesis of a Vibrant Cultural Program
OE-66-1552 Color Film
13 min.

Describes an 8-week summer cultural enrichment program for elementary and secondary school children. Participants are shown engaged in activities involving art, drama, music, and foreign languages.

Edna May Strobel, Director, Project Genesis, 731 St. Charles Avenue, New Orleans, Louisiana 70130

I. **Criteria for State's most exemplary projects:**

1. Objective data as evidence of significant achievement by pupils; or has dramatic empirical evidence that could be confirmed by on-site visitors.
2. A particularly innovative or new method or practice for the State. *(Only one, or very few similar programs in the State).*
3. Could stand the visibility of national publicity.
4. Project has operated 2-3 years, or for a period of time sufficient to give reasonable assurance of continued success.
5. Cost factor would probably not prevent replication if results are dramatic.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

FORM APPROVED
O.M.B. NO. 51-RO736

STATE EDUCATIONAL AGENCY ANNUAL REPORT - ESEA TITLE III
PART II - STATE ADVISORY COUNCIL ACTIVITIES REPORT

STATE

DATE PREPARED

FISCAL YEAR ENDING

REPORT PREPARED BY *(Type name and title)*

SIGNATURE

INSTRUCTIONS: Items 1 through 5 are to be completed by State Advisory Council. Item 6 is to be completed by the Chief State School Officer.

Please submit 3 copies to: –
Director, Division of Plans and Supplementary Centers
U.S. Office of Education
400 Maryland Avenue SW., Room 4239D, Washington, D. C. 20202

1. Describe the Council's activities for the fiscal year, include number of meetings, hearings, conferences, onsite project visits, and evaluation and dissemination activities.

2. Describe the nature of professional, technical, and clerical assistance available form SEA, and generally comment on the Council's relationship with the State including the Council's degree of independence.

3. Describe the extent to which the Council was involved in revision of the State plan, approval of proposals, and evaluation of projects.

4. What is the Council's evaluation of the overall effectiveness of the Title III program in the State? *(Attach copies of studies, or other supporting data, if any.)*

5. What recommendations does the Council make to the *(U.S.)* Commissioner *(of Education)* and the President's National Advisory Council *(for Title III, ESEA)* toward improving the effectiveness of the program?

6. State Educational Agency comments and addenda, if any.

OE FORM 4462-3, 11/70

PART III - FINANCIAL INFORMATION

EXHIBITS OF REPORTS

The financial report forms to be distributed by OE to the States will have preprinted on the forms, fill-in data which will be used by everyone completing the forms. Some simple examples are the fiscal year funds involved and the dates of the reporting periods. These forms will be updated each year as new dates are involved. In addition we may be faced with the question of how the procedures related to the forms should be revised to agree with changes which should be made in the forms. An example is the last change resulting from Public Law 91-230 which provided for the use of funds for one year beyond the year for which the funds originally were appropriated. Another change provides for reimbursement of indirect costs which are allocable to the Title III program if a rate has been established with the Department of Health, Education, and Welfare. The need for basic functional and expense data should not change. Also where possible, specific items of information may be combined. The items of information for the summary report of program funds were advantageously combined for the 1971 reports; the result, the number of reporting items were considerably reduced.

Three reports will be required each year, as follows:

1. "One Year Report" on the fiscal year funds awarded to the State during the fiscal year recently ended. Sample format of this report without the fill-in data is included herein as Exhibit.

2. "Two Year Report" on the fiscal year funds awarded to the State during the fiscal year prior to the one recently ended. This report will include cumulative expenditures for the two years of availability of Federal funds, as provided in Public Law 91-230, Section 405(b) of the Elementary and Secondary Education Amendments of 1967. The format for the two year report is also exhibited without the fill-in data.

3. "Adjustments of Expenditures of Prior Fiscal Years Funds". This report will report adjustments (increases or decreases) of expenditures for the previous years for which "Two Year" reports have been previously submitted. Sample format for this report is included herein as Exhibit.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

STATE EDUCATION AGENCY ANNUAL REPORT - ESEA TITLE III

PART III - FINANCIAL INFORMATION

(Elementary and Secondary Education Act, P.L. 89-10, as amended)

FORM APPROVED, O.M.B. NO. 51-R0737

ONE YEAR Report on FY_____USOE Grant Awards to State

EXPENDITURES OF FY____ FUNDS INCURRED DURING THE PERIOD, JULY 1, ____ THROUGH JUNE 30, ____.

STATE

SECTION A-1. ADMINISTRATION OF STATE PLAN PROGRAM

FUNCTIONAL CLASSIFICATION	PERSONNEL *(Number of positions)*		EXPENSE CLASSIFICATION *(Round all amounts to nearest dollar)*										TOTAL EXPENDITURES
			SALARIES				EQUIPMENT		BUILDING SPACE				
	PROFESSIONAL	NON-PROFESSIONAL	PROFESSIONAL	NON-PROFESSIONAL	CONTRACTED SERVICES	TRAVEL	RENTAL	PURCHASE	RENTAL	PURCHASE	REMODELING	OTHER EXPENSES	
(a)	*(b)*	*(c)*	*(d)*	*(e)*	*(f)*	*(g)*	*(h)*	*(i)*	*(j)*	*(k)*	*(l)*	*(m)*	*(n)*
1. STATE AGENCY ACTIVITIES: a. ADMINISTRATION OF STATE PLAN			$	$	$	$	$	$	$	$	$	$	$
b. EVALUATION													
c. DISSEMINATION													
d. ASSESSMENT OF EDUCATIONAL NEEDS													
2. STATE ADVISORY COUNCIL ACTIVITIES: a. GENERAL													
b. EVALUATION													
3. TOTAL DIRECT COSTS			$	$	$	$	$	$	$	$	$	$	$

4. **TOTAL AMOUNT OF APPROVED INDIRECT COSTS** → $

5. **TOTAL AMOUNT OF EXPENDITURES** *(enter this amount in Sec. C-1, Line 2.a. Col. (b))* → $

CERTIFICATION I CERTIFY that all the information contained herein is true, complete, and correct to the best of my knowledge and belief.	SIGNATURE *(Head, State Education Agency)*	DATE REPORTED

OE FORM 4462-4, 10/71

REPLACES OE FORM 4462-4, 10/70, WHICH IS OBSOLETE

SECTION B-1. SUMMARY REPORT OF EXPENDITURES OF GENERAL STATE PROGRAMS *(Round all amounts to nearest dollar)*

1. STATE GRANT AWARDS TO LOCAL EDUCATION AGENCIES	EXPENDITURES
a. EXPENDITURES EXCLUDING CONSTRUCTION, REMODELING AND EQUIPMENT	$
b. CONSTRUCTION *(Include remodeling over $2,000)*	
c. REMODELING *($2,000 or less)*	
d. EQUIPMENT	
e. **TOTAL** *(Sum of lines a through d)*	$
2. STATE EXPENDITURES OF PROGRAM FUNDS	
a. STATE SUPERVISION AND LEADERSHIP FOR GUIDANCE, COUNSELING, AND TESTING	
b. TESTING *(State Plan)*	
c. **TOTAL** *(Sum of lines a and b)*	$
3. **TOTAL DIRECT COSTS** *(lines 1e plus 2c)*	
4. INDIRECT COSTS	
a. LOCAL EDUCATION AGENCIES	
b. STATE EDUCATION AGENCY	
c. **TOTAL INDIRECT COSTS** *(Sum of lines a and b)*	$
5. **TOTAL GENERAL STATE PROGRAMS** *(lines 3 plus 4c)*	$

SECTION C-1. GRANT AWARDS, EXPENDITURES, AND BALANCES OF FUNDS

ITEM *(a)*	STATE ADMINISTRATION *(b)*	GENERAL STATE PROGRAMS *(c)*
1. USOE GRANT AWARDS TO STATE OF FISCAL YEAR____ FUNDS	$	$
2. EXPENDITURES AGAINST FY____ GRANT AWARDS		
a. SAME AS SECTION A-1, LINE 5, COLUMN *(n)*	$	
b. SAME AS SECTION B-1, LINE 5		$
3. UNEXPENDED BALANCE OF FISCAL YEAR____ FUNDS *(line 1 minus line 2)*	$	$

SECTION D-1. GRANT RELATED INCOME

ITEM *(a)*	STATE ADMINISTRATION *(b)*	GENERAL STATE PROGRAMS *(c)*
1. GRANT RELATED INCOME	$	$
2. EXPENDITURES OF GRANT RELATED INCOME	$	$
3. REFUND BY CHECK TO USOE *(line 1 minus line 2)*	$	$

SECTION E-1. REPORT OF EXPENDITURES FOR GUIDANCE, COUNSELING, AND TESTING

ITEM *(a)*	FY 1970 FUNDS *(b)*	FY____ FUNDS *(c)*
1. STATE SUPERVISION AND LEADERSHIP	$	$
2. LOCAL PROJECTS		
3. **TOTAL** *(line 1 plus line 2)*	$	$

SECTION F-1. HANDICAPPED COMPONENT EXPENDITURES

1. PROJECT EXPENDITURES BY TYPE OF HANDICAPPED CHILDREN BENEFITING	EXPENDITURES *(Estimated)*
a. TRAINABLE MENTALLY RETARDED	$
b. EDUCABLE MENTALLY RETARDED	
c. HARD OF HEARING	
d. DEAF	
e. SPEECH IMPAIRED	
f. VISUALLY IMPAIRED	
g. EMOTIONALLY DISTURBED	
h. CRIPPLED	
j. HEARING DISABLED	
k. OTHER HEALTH IMPAIRED	
m. **TOTAL** *(Sum of lines a through k, should be at least 15% of Section C-1, line 11, Column (c))*	$
2. PROJECT EXPENDITURES IN SPECIAL CATEGORIES	EXPENDITURES *(Estimated)*
a. INSERVICE TRAINING OF STAFF *(Including such costs as equipment, travel, salaries, tuition, etc.)*	$
b. PARENT SERVICES	
c. MODEL CITIES AREA PROJECT ACTIVITIES	
d. PRESCHOOL PROJECT ACTIVITIES	
e. KINDERGARTEN PROJECT ACTIVITIES	$

STATE EDUCATION AGENCY REPORT - ESEA TITLE III
PART III - FINANCIAL INFORMATION
INSTRUCTIONS FOR OE FORM 4462-4, 10/71

(One year report on FY_____ U.S. Office of Education grant awards to State)

SECTION A-1. ADMINISTRATION OF STATE PLAN PROGRAM

Financial information must be reported to show how the 7-1/2% or $150,000 *($50,000 in case of Puerto Rico, Guam, American Samoa, the Virgin Islands and the Trust Territory of the Pacific Islands)* of the Title III State allotment was spent for the administration of the State plan program.

COLUMNS (b) and (c). Report the number of State education agency staff positions *(full-time equivalents)* assigned to Title III for each category of program function in column (a).

COLUMN (b). Report employees in positions such as heads and assistant heads of bureaus, divisions, branches, services, supervisors, and assistant supervisors, educational specialists, and others whose responsibilities ordinarily require professional training, such as grants management officers or accountants. Include any State agency employee holding a position for which educational requirements normally include at least a baccalaureate degree or equivalent.

COLUMN (c). Report employees of the State education agency whose work supports the efforts or activities or professional staff members. Count such positions as secretaries, clerks, bookkeepers, technicians, and laborers not required to have professional preparation.

COLUMNS (d) through (m). Report the total amounts of all expenditures incurred by the agency for activities in operating the Title III program for each State education agency function category listed in column (a).

COLUMN (n). Report the total amount of expenditures reported in columns (d) through (m). Line 5, column (n), must not exceed the grant award for the administration of the State plan program.

LINES 1a through 1d. Report direct costs attributable to the State agency activities. The amount spent on administration of the State plan from the fiscal year_____ State grant award shall not exceed 5% of the State grant award or $100,000 *($35,000 in case of Puerto Rico, Guam, American Samoa, the Virgin Islands and the Trust Territory of the Pacific Islands)* whichever is greater.

LINES 2a and 2b. Report direct costs attributable to the State advisory council activities.

LINE 3. Report total direct costs of the State agency and the State advisory council.

LINE 4. Report indirect costs if the State has an indirect rate that has been approved by the Division of Grants Administration Policy of the Department of Health, Education, and Welfare. The indirect costs are those costs not readily identifiable with the program but incurred by the State for the joint benefit of the program and of other activities carried on by the State. For detail and procedures for establishing an indirect cost rate refer to "A Guide for State Government Agency," OASC-6.

LINE 5. Report total expenditures for administration of the State plan program.

SECTION B-1. SUMMARY REPORT OF EXPENDITURES

LINES 1a through 1e. Summarize in this section the itemized budgets approved by the State during the fiscal year as evidenced by grant awards. Enter the latest adjusted figures if changes in the budgets and grant awards have been approved by the State.

For reporting purposes negotiated budgets shall be considered expenditures. However, in subsequent State annual reports, total negotiated budgets for each fiscal year will be adjusted to actual expenditures incurred by the local educational agencies. For those projects on which actual expenditures are available, use those figures.

LINE 2a. Report the expenditures of local grant funds by the State for State supervision and leadership activities resulting from Guidance, Counseling, and Testing programs. Expenditures incurred as a result of administration of Guidance, Counseling, and Testing programs are reported in Section A-1 of this report.

LINE 2b. Report expenditures of local grant funds by the State for the State Plan testing program. Expenditures incurred as a result of administration of the testing program are reported in Section A-1 of this report.

LINE 4a. Report indirect costs incurred on project activities by those local educational agencies that have an indirect rate which has been approved. The indirect costs of a program are those costs not readily identifiable with the program itself but incurred by the locality for the joint benefit of the program and of other activities carried on by the local educational agencies. Procedures for establishing an indirect cost rate are covered in "A Guide for Local Government Agencies," OASC-8.

LINE 4b. Report indirect costs incurred by State agency for State supervision and leadership activities resulting from Guidance, Counseling, and Testing programs and for the State Plan testing program. See instructions for Section A-1, line 4.

SECTION C-1. GRANT AWARDS, EXPENDITURES, AND BALANCES OF FUNDS

LINE 1. Enter the total amount awarded by the U.S. Office of Education for State Administration and General State Programs as evidenced by notifications of grant awards.

LINE 2a. Report the expenditures of FY_____ funds incurred during the fiscal year_____ , as shown in Section A-1 of this report.

LINE 2b. Report the expenditures of FY_____ funds incurred during the fiscal year_____ as shown in Section B-1 of this report.

SECTION D-1. GRANT RELATED INCOME

LINE 1. Report income derived from activities conducted under the auspices of the grant supported activity. Such income may be produced by the services of individuals or by employing equipment, facilities or general services of the grantee organization.

LINE 2. Report expenditures of grant related income. Such income is to be used to further the purposes of the Title III ESEA program.

LINE 3. Report the amount of grant related income not expended for the purposes of the Title III ESEA program. Any such balance must be refunded by check to the U.S. Office of Education.

SECTION E-1. REPORT OF EXPENDITURES FOR GUIDANCE, COUNSELING, AND TESTING

LINES 1 and 2, COLUMN (b). Report the amount of funds expended on State supervision and leadership, and local projects under Title V-A, NDEA during the fiscal year 1970.

LINES 1 and 2, COLUMN (c). Report the amount of local grant funds expended *(from Section B-1 of this report)* on State supervision and leadership and local projects during the fiscal year_____ .

SECTION F-1. HANDICAPPED COMPONENT EXPENDITURES

Report in this section estimated expenditures for projects with a component on education of handicapped children. "Handicapped children" means mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, crippled, or other health impaired children who by reason thereof require special education. The sum of lines 1a through 1k should be at least 15% of the grant award for the general State programs shown in Section C-1, line 1, column (c). The "Project Expenditures in Special Categories" reported in item 2, is another distribution of the expenditures reported in item 1.

SIGNATURE. This report must be signed by the head of the State education agency or his authorized representative before it can be accepted by the U.S. Office of Education.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

STATE EDUCATION AGENCY ANNUAL REPORT - ESEA TITLE III

PART III - FINANCIAL INFORMATION

(Elementary and Secondary Education Act, P.L. 89-10, as amended)

FORM APPROVED, O.M.B. NO. 51-R0737

TWO YEAR Report on FY ____ USOE Grant Awards to State

EXPENDITURES OF FY ____ FUNDS INCURRED DURING THE PERIOD,
JULY 1, ____ THROUGH JUNE 30,

STATE

SECTION A-1. ADMINISTRATION OF STATE PLAN PROGRAM

FUNCTIONAL CLASSIFICATION	PERSONNEL *(Number of positions)*		EXPENSE CLASSIFICATION *(Round all amounts to nearest dollar)*										TOTAL EXPENDITURES
			SALARIES				EQUIPMENT		BUILDING SPACE				
	PROFESSIONAL	NON-PROFESSIONAL	PROFESSIONAL	NON-PROFESSIONAL	CONTRACTED SERVICES	TRAVEL	RENTAL	PURCHASE	RENTAL	PURCHASE	REMODELING	OTHER EXPENSES	
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)
1. STATE AGENCY ACTIVITIES: a. ADMINISTRATION OF STATE PLAN			$	$	$	$	$	$	$	$	$	$	$
b. EVALUATION													
c. DISSEMINATION													
d. ASSESSMENT OF EDUCATIONAL NEEDS													
2. STATE ADVISORY COUNCIL ACTIVITIES: a. GENERAL													
b. EVALUATION													
3. TOTAL DIRECT COSTS			$	$	$	$	$	$	$	$	$	$	$

130

4. TOTAL AMOUNT OF APPROVED INDIRECT COSTS → $

129

5. TOTAL AMOUNT OF EXPENDITURES *(enter this amount in Sec. C-1, Line 2.a. Col. (b))* → $

CERTIFICATION I CERTIFY that all the information contained herein is true, complete, and correct to the best of my knowledge and belief.	SIGNATURE *(Head, State Education Agency)*	DATE REPORTED

OE FORM 4462-4, 10/71

REPLACES OE FORM 4462-4, 10/70, WHICH IS OBSOLETE

SECTION B-1. SUMMARY REPORT OF EXPENDITURES OF GENERAL STATE PROGRAMS *(Round all amounts to nearest dollar)*

1. STATE GRANT AWARDS TO LOCAL EDUCATION AGENCIES	**EXPENDITURES**
a. EXPENDITURES EXCLUDING CONSTRUCTION, REMODELING AND EQUIPMENT	$
b. CONSTRUCTION *(Include remodeling over $2,000)*	
c. REMODELING *($2,000 or less)*	
d. EQUIPMENT	
e. **TOTAL** *(Sum of lines a through d)*	$
2. STATE EXPENDITURES OF PROGRAM FUNDS	
a. STATE SUPERVISION AND LEADERSHIP FOR GUIDANCE, COUNSELING, AND TESTING	
b. TESTING *(State Plan)*	
c. **TOTAL** *(Sum of lines a and b)*	$
3. **TOTAL DIRECT COSTS** *(lines 1e plus 2c)*	
4. INDIRECT COSTS	
a. LOCAL EDUCATION AGENCIES	
b. STATE EDUCATION AGENCY	
c. **TOTAL INDIRECT COSTS** *(Sum of lines a and b)*	$
5. **TOTAL GENERAL STATE PROGRAMS** *(lines 3 plus 4c)*	$

SECTION C-1. GRANT AWARDS, EXPENDITURES, AND BALANCES OF FUNDS

ITEM *(a)*	STATE ADMINISTRATION *(b)*	GENERAL STATE PROGRAMS *(c)*
1. USOE GRANT AWARDS TO STATE OF FISCAL YEAR ____ FUNDS	$	$
2. EXPENDITURES AGAINST FY ____ GRANT AWARDS		
a. SAME AS SECTION A-1, LINE 5, COLUMN *(n)*	$	
b. SAME AS SECTION B-1, LINE 5		$
3. UNEXPENDED BALANCE OF FISCAL YEAR ____ FUNDS *(line 1 minus line 2)*	$	$

SECTION D-1. GRANT RELATED INCOME

ITEM *(a)*	STATE ADMINISTRATION *(b)*	GENERAL STATE PROGRAMS *(c)*
1. GRANT RELATED INCOME	$	$
2. EXPENDITURES OF GRANT RELATED INCOME	$	$
3. REFUND BY CHECK TO USOE *(line 1 minus line 2)*	$	$

SECTION E-1. REPORT OF EXPENDITURES FOR GUIDANCE, COUNSELING, AND TESTING

ITEM *(a)*	FY 1970 FUNDS *(b)*	FY ____ FUNDS *(c)*
1. STATE SUPERVISION AND LEADERSHIP	$	$
2. LOCAL PROJECTS		
3. **TOTAL** *(line 1 plus line 2)*	$	$

SECTION F-1. HANDICAPPED COMPONENT EXPENDITURES

1. PROJECT EXPENDITURES BY TYPE OF HANDICAPPED CHILDREN BENEFITING	**EXPENDITURES** *(Estimated)*
a. TRAINABLE MENTALLY RETARDED	$
b. EDUCABLE MENTALLY RETARDED	
c. HARD OF HEARING	
d. DEAF	
e. SPEECH IMPAIRED	
f. VISUALLY IMPAIRED	
g. EMOTIONALLY DISTURBED	
h. CRIPPLED	
j. HEARING DISABLED	
k. OTHER HEALTH IMPAIRED	
m. **TOTAL** *(Sum of lines a through k, should be at least 15% of Section C-1, line 11, Column (c))*	$
2. PROJECT EXPENDITURES IN SPECIAL CATEGORIES	**EXPENDITURES** *(Estimated)*
a. INSERVICE TRAINING OF STAFF *(Including such costs as equipment, travel, salaries, tuition, etc.)*	$
b. PARENT SERVICES	
c. MODEL CITIES AREA PROJECT ACTIVITIES	
d. PRESCHOOL PROJECT ACTIVITIES	
e. KINDERGARTEN PROJECT ACTIVITIES	$

STATE EDUCATION AGENCY REPORT - ESEA TITLE III

PART III - FINANCIAL INFORMATION

INSTRUCTIONS FOR OE FORM 4462-4, 10/71

(Two year report on FY_____ U.S. Office of Education grant awards to State)

SECTION A-1. ADMINISTRATION OF STATE PLAN PROGRAM

Financial information must be reported to show how the 7-1/2% or $150,000 *($50,000 in case of Puerto Rico, Guam, American Samoa, the Virgin Islands and the Trust Territory of the Pacific Islands)* of the Title III State allotment was spent for the administration of the State plan program.

COLUMNS (b) and (c). Report the number of State education agency staff positions *(full-time equivalents)* assigned to Title III for each category of program function in column (a).

COLUMN (b). Report employees in positions such as heads and assistant heads of bureaus, divisions, branches, services, supervisors, and assistant supervisors, educational specialists, and others whose responsibilities ordinarily require professional training, such as grants management officers or accountants. Include any State agency employee holding a position for which educational requirements normally include at least a baccalaureate degree or equivalent.

COLUMN (c). Report employees of the State education agency whose work supports the efforts or activities or professional staff members. Count such positions as secretaries, clerks, bookkeepers, technicians, and laborers not required to have professional preparation.

COLUMNS (d) through (m). Report the total amounts of all expenditures incurred by the agency for activities in operating the Title III program for each State education agency function category listed in column (a).

COLUMN (n). Report the total amount of expenditures reported in columns (d) through (m). Line 5, column (n), must not exceed the grant award for the administration of the State plan program.

LINES 1a through 1d. Report direct costs attributable to the State agency activities. The amount spent on administration of the State plan from the fiscal year _____ State grant award shall not exceed 5% of the State grant award or $100,000 *($35,000 in case of Puerto Rico, Guam, American Samoa, the Virgin Islands and the Trust Territory of the Pacific Islands)* whichever is greater.

LINES 2a and 2b. Report direct costs attributable to the State advisory council activities.

LINE 3. Report total direct costs of the State agency and the State advisory council.

LINE 4. Report indirect costs if the State has an indirect rate that has been approved by the Division of Grants Administration Policy of the Department of Health, Education, and Welfare. The indirect costs are those costs not readily identifiable with the program but incurred by the State for the joint benefit of the program and of other activities carried on by the State. For detail and procedures for establishing an indirect cost rate refer to "A Guide for State Government Agency," OASC-6.

LINE 5. Report total expenditures for administration of the State plan program.

SECTION B-1. SUMMARY REPORT OF EXPENDITURES

LINES 1a through 1e. Summarize in this section the itemized budgets approved by the State during the 2 yrs. as evidenced by grant awards. Enter the latest adjusted figures if changes in the budgets and grant awards have been approved by the State.

For reporting purposes negotiated budgets shall be considered expenditures. However, in subsequent State annual reports, total negotiated budgets for each 2 yrs. will be adjusted to actual expenditures incurred by the local educational agencies. For those projects on which actual expenditures are available, use those figures.

LINE 2a. Report the expenditures of local grant funds by the State for State supervision and leadership activities resulting from Guidance, Counseling, and Testing programs. Expenditures incurred as a result of administration of Guidance, Counseling, and Testing programs are reported in Section A-1 of this report.

LINE 2b. Report expenditures of local grant funds by the State for the State Plan testing program. Expenditures incurred as a result of administration of the testing program are reported in Section A-1 of this report.

LINE 4a. Report indirect costs incurred on project activities by those local educational agencies that have an indirect rate which has been approved. The indirect costs of a program are those costs not readily identifiable with the program itself but incurred by the locality for the joint benefit of the program and of other activities carried on by the local educational agencies. Procedures for establishing an indirect cost rate are covered in "A Guide for Local Government Agencies," OASC-8.

LINE 4b. Report indirect costs incurred by State agency for State supervision and leadership activities resulting from Guidance, Counseling, and Testing programs and for the State Plan testing program. See instructions for Section A-1, line 4.

SECTION C-1. GRANT AWARDS, EXPENDITURES, AND BALANCES OF FUNDS

LINE 1. Enter the total amount awarded by the U.S. Office of Education for State Administration and General State Programs as evidenced by notifications of grant awards.

LINE 2a. Report the expenditures of FY 1971 funds incurred during the two years as shown in Section A-1 of this report.

LINE 2b. Report the expenditures of FY 1971 funds incurred during the two years as shown in Section B-1 of this report.

SECTION D-1. GRANT RELATED INCOME

LINE 1. Report income derived from activities conducted under the auspices of the grant supported activity. Such income may be produced by the services of individuals or by employing equipment, facilities or general services of the grantee organization.

LINE 2. Report expenditures of grant related income. Such income is to be used to further the purposes of the Title III ESEA program.

LINE 3. Report the amount of grant related income not expended for the purposes of the Title III ESEA program. Any such balance must be refunded by check to the U.S. Office of Education.

SECTION E-1. REPORT OF EXPENDITURES FOR GUIDANCE, COUNSELING, AND TESTING

LINES 1 and 2, COLUMN (b). Report the amount of funds expended on State supervision and leadership, and local projects under Title V-A, NDEA during the fiscal year 1970.

LINES 1 and 2, COLUMN (c). Report the amount of local grant funds expended *(from Section B-1 of this report)* on State supervision and leadership and local projects during the two years.

SECTION F-1. HANDICAPPED COMPONENT EXPENDITURES

Report in this section estimated expenditures for projects with a component on education of handicapped children. "Handicapped children" means mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, crippled, or other health impaired children who by reason thereof require special education. The sum of lines 1a through 1k should be at least 15% of the grant award for the general State programs shown in Section C-1, line 1, column (c). The "Project Expenditures in Special Categories" reported in item 2, is another distribution of the expenditures reported in item 1.

SIGNATURE. This report must be signed by the head of the State education agency or his authorized representative before it can be accepted by the U.S. Office of Education.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

FORM APPROVED
O.M.B. NO. 51-R0737

STATE EDUCATION AGENCY ANNUAL REPORT - ESEA TITLE III
PART III - FINANCIAL INFORMATION
(Elementary and Secondary Education Act, P.L. 89-10, as amended)

ADJUSTMENTS OF EXPENDITURES OF PRIOR FISCAL YEARS FUNDS DURING FISCAL YEAR ____

STATE

ITEM (a)	STATE ADMINISTRATION		GENERAL STATE PROGRAMS	
	FY ____ (b)	FY ____ (c)	FY ____ (d)	FY ____ (e)
1. USOE GRANT AWARD TO STATE	$	$	$	$
2. EXPENDITURES REPORTED PRIOR TO FISCAL YEAR ____				
3. ADJUSTMENTS OF EXPENDITURES DURING FISCAL YEAR ____ (Indicate plus or minus)				
4. TOTAL EXPENDITURES *(line 2 plus or minus line 3)*				
5. ADJUSTED UNEXPENDED BALANCE *(line 1 minus line 4)*	$	$	$	$

INSTRUCTIONS

Line 1 - Enter the total amount of funds awarded by the U.S. Office of Education for State administration and general State programs, as evidenced by notifications of grant awards.

Line 2 - Enter the cumulative expenditures of funds, plus or minus any adjustments, as reported by the State in prior financial reports.

Line 3 - Enter net adjustments (plus or minus) incurred during fiscal year______.

OE FORM 4462-4-2, 10/71

APPENDIX A

EXHIBIT A: FORMAT FOR THE PREPARATION OF AN OPERATIONAL TITLE III, ESEA STATE PLAN

FORMAT FOR THE PREPARATION OF THE OPERATIONAL TITLE III, ESEA STATE PLAN

Face Sheet

1.0 State Plan Administration

- 1.1 Name of Agency
- 1.2 Administration
  - 1.2.1 Official title of officer authorized to submit State Plan materials
  - 1.2.2 Official title and address of officer who has legal authorization to receive and has custody of ESEA Title III funds
  - 1.2.3 Official title(s) and address(es) of officer(s) who have authority to authorize expenditures under the State Plan
  - 1.2.4 Official title of officer who will administer the State Plan

2.0 State Plan Program Administration

- 2.1 State Advisory Council
  - 2.1.1 Composition
  - 2.1.2 Functions
  - 2.1.3 Supporting services
- 2.2 State Educational Agency
  - 2.2.1 Organization
  - 2.2.2 Staff Qualifications
  - 2.2.3 Panel of Experts
  - 2.2.4 State leadership activities for professional Title III staff development
- 2.3 State Plan Program

  Part I - Innovative and Exemplary Programs

  - 2.3.1 Assessment of educational needs in the State
  - 2.3.2 Criteria for approving projects

2.3.3 Provisions for giving special consideration

  2.3.3.1 Reasonable tax effort

  2.3.3.2 Planned under Title III

2.3.4 Provisions for assuring Title III will supplement not supplant State and local funds

2.3.5 Evidence of maintenance of fiscal effort at the State level

2.3.6 Provisions for assuring 15% for special needs of handicapped children

2.3.7 Criteria for achieving equitable distribution of assistance

2.3.8 Assisting local educational agencies in the development of Title III proposals

2.3.9 Dates for submission of Title III applications

2.3.10 Disposition of proposals

2.3.11 Developing evaluation strategies

2.3.12 Assuring adequate on-site evaluation of projects

2.3.13 - 14 Provisions for dissemination and for the adoption and adaptation of promising educational practices

2.3.15 Provisions for private non-profit school participation

2.3.16 Length of project period

2.3.17 Provisions for continuing projects

2.3.18 Provisions for terminating Title III projects

2.3.19 List of projects funded (see page 212-A)

2.3.20 Procedures for amending approved projects

2.3.21 Construction or remodeling of facilities

2.3.22 Provisions for hearings

2.3.23 Provisions for not commingling Federal with State funds

2.3.24 Provisions for not commingling Federal with local funds.

Part II - Guidance, Counseling, and Testing Programs

- 2.3.25 State level program of supervision and leadership
- 2.3.26 Local guidance and counseling program
- 2.3.27 State Plan testing program

3.0 Fiscal Management, Accounting and Auditing Procedures

- 3.1 Determination and obligations and
    - 3.1.1 Expenditures by SEA for State administration
    - 3.1.2 Obligations of funds to local educational agency
    - 3.1.3 Expenditure by LEA
- 3.2 Funding policy
- 3.3 Funding procedures
- 3.4 Processing of grant
- 3.5 Auditing of SEA fiscal records
- 3.6 Auditing LEA fiscal records
    - 3.6.1 Name of agency which retains official accounts and records
    - 3.6.2 Audit standards
- 3.7 Identifying and prorating expenditures

4.0 Certification of plan

- 4.1 Certification of officer authorized by State to submit the State plan
- 4.2 Certification of State Attorney General or other appropriate State level officer. (State Plan submission)
- 4.3 Certification of State Attorney General or other appropriate State level officer (amendment)

Attachment:

Governor's statement of review with comments, if appropriate, and

Governor's or designate's signature.

State ______

Project Number	Grantee and City	Project Period		Major Concern of Project (i.e. gifted, reading, etc.)	Projected or Actual Yearly Funding Levels			Expenditures for Handicapped	Expenditures for Guidance and Counseling
		Date Utilizing Title III Funds	Actual or Projected Ending Date Utilizing Title III Funds		FY 1972	FY 1973	FY 1974	FY 1972	FY 1972
				TOTALS					

SUPPLEMENTARY EDUCATIONAL CENTERS AND SERVICES; GUIDANCE, COUNSELING AND TESTING TITLE III OF THE ELEMENTARY AND SECONDARY EDUCATION ACT OF 965, P.L. 89-10, AS AMENDED

EXHIBIT B

FORMAT FOR THE PREPARATION OF A STATE PLAN

UNITED STATES DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
BUREAU OF ELEMENTARY AND SECONDARY EDUCATION

STATE PLAN
ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965
Title III

I, the undersigned authorized official for the ______________________________
State educational agency

____. of the ____________________________,
State

do hereby agree and assure that this State Plan for Title III of the Elementary and Secondary Education Act of 1965 in which Federal funding is being requested for the Fiscal Year ending June 30, 1971, will be administered in accordance with the following provisions:

1. Funds under said Title III, except funds under Section 307(b), will be expended for grants solely except as specified in paragraphs 2 and 3 below, to local educational agencies for programs and projects for the improvement of education in the State under the following described program, which sets forth (a) the educational needs in the State, (b) the basis for the State's determination of such needs, and (c) the manner in which funds under said Title III will be used in meeting such needs:

2. The following program for testing students in the elementary and secondary schools of the State or in the junior colleges and technical institutes of the State, describes the means of testing, including the types of tests and grade levels of students (Private school students will be served on a basis comparable to

public school children except as expressly noted in item 16 hereof.):

3. The following program of guidance and counseling is designed to improve services at the appropriate level in the elementary and secondary schools or junior colleges and technical institutes of the State, including students enrolled in private schools to the extent required by item 17 hereof:

4. There are set forth below the administrative organization, procedures, and qualifications of all staff members required for the administration of this State Plan:

5. The criteria to be used for achieving an equitable distribution of assistance under said Title III in the light of the size and population of the State, the geographic distribution and density of the population within the State, the relative need for such assistance of persons in different population groups within the State, and the financial ability of local educational agencies

serving such persons to provide such services and activities, are as follows:

6. Special consideration will be given to an application by a local educational agency that is making a reasonable tax effort but is nevertheless unable to meet critical educational needs including preschool and bilingual education because of overcrowded, obsolete, or unsafe school facilities.

7. In approving applications under this State Plan, the State agency will give special consideration to programs and projects planned with the use of funds under said Title III.

8. The following effective procedures have been adopted for the evaluation by the State advisory council at least annually, of the effectiveness, for the purposes intended, of programs and projects funded pursuant to this State Plan, for appropriate dissemination of the results of such evaluations and other information pertaining to such programs or projects, and for adopting, where appropriate, promising educational practices developed through such programs or projects:

9. Not less than 50 percent of the funds received for carrying out this State Plan will be used to plan innovative and exemplary programs and activities, including pilot projects designed to test the effectiveness of such plans, or to establish and expand exemplary and innovative educational programs for the purpose of stimulating the adoption of new educational programs, including special programs for handicapped children in the schools of the State.

10. Not less than 15 percent of the funds received for carrying out this State Plan will be used for special programs or projects for the education of handicapped children.

11. The following policies and procedures will be applied to assure that funds under said Title III will not be so commingled with State or local funds as to lose their identity as Title III funds and will be so used as to supplement and, to the extent practical, increase the fiscal effort that would, in the absence of such Title III funds, be made by that local educational agency for educational purposes:

12. The following fiscal control and fund accounting procedures will assure proper disbursement of and accounting for funds paid to the State under said Title III:

13. The State agency,in determining the eligibility of any local educational agency for State aid or the amount of such aid, will not take into consideration grants to that agency of funds under said Title III.

14. The State agency will make to the U.S. Commissioner of Education an annual report and such other reports, in such form, and containing such information, as the Commissioner of Education may reasonably require to carry out his functions under said Title III and to determine the extent to which funds under said Title III have been effective in improving the educational opportunities of persons in the areas served by the programs or projects supported under this State Plan and in the State as a whole, including the reports of evaluations referred to in paragraph 8 above, and for keeping such records, and for affording the U.S. Commissioner such access thereto, as he may find necessary to assure the correctness and verification of such reports.

15. Final action other than one of approval will not be taken regarding the disposition of any application (or amendment thereof) by a local educational agency without first affording that agency reasonable notice and opportunity for a hearing with respect to such a disposition.

16. The State has the legal authority, except as expressly noted below, to provide with respect to children enrolled in private schools for their participation in the programs under this State Plan.

17. The State agency assures that, to the full extent of its legal authority indicated in item 16 hereof, it will approve an application (or amendment thereof) from a local educational agency for a program or project under this State Plan (including guidance and counseling programs or projects) only if it has determined that such application, to the extent consistent with the number of children enrolled in nonprofit private schools in the area to be served whose educational needs are of the type provided by the program or project, makes provision for the effective participation of such children on an equitable basis.

18. The amount of State aid actually paid by the State to, or in behalf of, local educational agencies during Fiscal Years 1969 and 1970 is as follows:

    a) Amount of State aid paid during FY 19 ____________________

    b) Amount of State aid paid during FY 19 ____________________

    c) Amount of State aid paid during FY 19 ____________________

19. The State educational agency will expend for purposes of V-A of the National Defense Education Act of 1958, an amount at least equal to fifty percent of the Fiscal Year 1970 funds expended for these purposes.

20. The State agency assures that it will, in carrying out this State Plan, comply with all the provisions of said Title III and the regulations of the U.S. Commissioner of Education pursuant thereto.

21. Assurance is hereby given that in accordance with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.) and the Regulation issued thereunder by the Department of Health, Education, and Welfare (45 CPR Part 80) no individual shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this plan.

    The State agency has established and will maintain methods of administration to assure that each program or activity for which it received Federal financial assistance will be operated in accordance with the preceding paragraph of this statement.

The State agency will amend its methods of administration from time to time as necessary to carry out the purposes for which this statement is given.

The State agency recognizes and agrees that Federal financial assistance will be extended in consideration of, and in reliance on, the representations and agreements made in this statement, and that the United States shall have the right to seek administrative and judicial enforcement thereof.

22. This Plan has been submitted to the Governor for his review. His comments or a statement that no comments have been made is attached. The State agency assures that any amendment to this Plan, as well as projections or other periodic reports required under the program, will also be submitted for the Governor's review, and comments, if any, will accompany the amendments or other required program materials when they are submitted to the U.S. Commissioner of Education.

Signature of Chief State School Officer

Date

Certificate of Attorney General or other Appropriate State Legal Officer

I, ______________________________, hereby certify that the
Legal Officer

State Educational Agency named in the attached State Plan for Title III of the Elementary and Secondary Education Act of 1965, is the agency responsible for the administration of said State Plan; that said State Agency has authority under State law to develop, submit, and administer, either directly or through arrangements with other State or local public agencies, the State Plan; that this State has authority under State law to carry out the State Plan as set forth therein, and has authority except as expressly set forth in the State Plan to provide for the participation with respect to children enrolled in nonprofit private schools in programs under the State Plan; State Treasurer or ______________________________
(Title of Officer other

__________________ has authority under State law to receive, hold, and
than Treasurer)

disburse in accordance with the State Plan funds received under said Title III, and that all provisions of said State Plan are consistent with State law.

____
Signature

____
Title

____
Date

Approved By:

____
U.S. Commissioner of Education

____
Date

APPENDIX B

TITLE III ESEA STATE ADVISORY COUNCIL CERTIFICATION FORM

ESEA TITLE III ADVISORY COUNCIL FOR FISCAL YEAR 1971

NAME	CITY OF RESIDENCE	CULTURAL AND EDUCATIONAL AREA REPRESENTED	HIGHEST EDUCATIONAL ATTAINMENT	PRIOR RELEVANT EXPERIENCE	CURRENT OCCUPATION & TITLE

I hereby certify to the U.S. Commissioner of Education the establishment of a State Advisory Council for Title III, ESEA including the above identified persons.

Date

Chief State School Officer

APPENDIC C

OFFICE OF EDUCATION COPYRIGHT GUIDELINES

Office of Education COPYRIGHT GUIDELINES

Reprinted from the Federal Register, Vol. 35, No. 91, Saturday, May 9, 1970

Effective June 8, 1970

Notice of Issuance of Guidelines on Authorizing Copyright Protection for Materials Developed Under Project Grants and Contracts

These Guidelines, including the Statement of Copyright Policy, constitute revisions of the previous Guidelines and Statement. These Guidelines are being published in the FEDERAL REGISTER for the first time. The previous Statement of Policy was published in the FEDERAL REGISTER on March 1, 1968, and appeared in 33 F.R. 3653.

Sec.

1 Purpose and scope.
2 Definitions.
3 Authorization to secure copyright protection.
4 Request for copyright authorization.
5 Scholarly and professional journals and and periodicals.
6 "Thin Market" materials.
7 Involvement of producers in development.
8 Decision of the Commissioner.
9 General conditions.
10 Royalties.
11 Publication arranged by the Office of Education.
12 Waiver of guidelines requirements.
13 Copyright protection during development.
14 Statement of USOE copyright policy.

SECTION 1 *Purpose and scope.* (a) the U.S. Office of Education is issuing with these Guidelines a revised Statement of Policy (see section 14) regarding materials developed under project grants and contracts. That Statement provides that, with respect to some materials, the public interest will best be served by disseminating those materials without copyright. However, with respect to other materials, copyright protection may be desirable during development, or as an incentive to promote the effective dissemination of such materials. These Guidelines set forth the policies and procedures implementing the revised Statement of Policy.

(b) The primary purpose of these Guidelines is to promote the effective dissemination and use of USOE supported materials in a fair and equitable manner to all interested parties—developers, producers, and users.

(c) The revised Statement of Policy and these Guidelines are applicable only to materials developed under project grants or contracts. They do not apply to materials developed under State-administered formula grant programs.

(d) Although materials developed under Office of Education grants and contracts will not be endorsed by the Office of Education, arrangements for copyright protection must normally be approved by the Commissioner of Education in order to assure that such arrangements are in the public interest. (See section 5 for exceptions.)

(e) The Office of Education will entertain requests for authorization to secure copyright. Although these Guidelines contemplate publication by commercial producers the copyright authorization request should be submitted by the grantee or contractor or by someone designated by the grantee or contractor. If the request is submitted by a producer the procedures for obtaining competition for publication may be arranged by the Office of Education. (See section 11.) The Commissioner of Education may authorize the securing of copyright to protect the integrity of the materials during development or as an incentive to promote the effective dissemination of final materials developed with USOE support. Such authorization will be conditioned upon the copyright being claimed only for a specified limited period of time (herein termed the authorized copyright period), a period of less duration than the statutory copyright term. Copyright authorization will be in the form of an agreement (herein termed the copyright authorization agreement) between the USOE and the grantee or contractor.

(f) In the event the Commissioner of Education (Commissioner) finds that the grantee or contractor has not complied, or is unwilling or unable to comply, with any of the material terms of the copyright authorization agreement, the USOE shall have the right to publish and disseminate the materials, or to have the materials published and disseminated, either with or without copyright protection, and to take such other action as may be allowable under the copyright authorization agreement or otherwise under law or regulation: *Provided*, That the grantee or contractor shall be given notice of any action proposed to be taken by the USOE and afforded and opportunity to be heard.

SEC. 2 *Definitions.* As used herein:

(a) "Materials" means writings (including reports, scholarly works and curriculum materials), sound recordings, films, pictorial reproductions, drawings, or other graphic representations, computer programs and computer data bases, and works of any other nature developed or specified to be delivered under project grants or contracts financially supported, to any extent by the USOE.

(b) *"Final Materials"* are those the development of which has been completed to the extent intended under the grant or contract.

(c) "Experimental Materials" are those which are being tested and evaluated under a grant or contract.

(d) "Thin Market Materials" are those for which a limited market, and consequentially insubstantial publication revenues, are anticipated.

(e) "Development" is the act or process of writing, creating, generating, testing, evaluating, or revising materials, as distinguished from the act or process of publishing and disseminating the final materials.

(f) "Publication" is used herein in the conventional sense, but includes also all acts of preparing final materials, in any media, for dissemination, and the further acts of disseminating those materials, in any mode.

(g) "Dissemination" includes the acts of stocking, selling, delivering, distributing, and installing materials.

(h) "Producer" means any publishing or disseminating organization other than the U.S. Government.

(i) "Cosponsor" is any person, organization, or Government agency which contributed materially to a project for developing educational materials. A grantee or contractor may be a cosponsor.

(j) "Project" is a unit of work looking toward the development of a distinct set of educational materials. A grant or contract may include one or more projects or a single project may encompass one or more grants or contracts.

(k) "Copyright Program Officer" is the official within the USOE having responsibility for the operation of the USOE Copyright Program under these Guidelines.

SEC. 3 *Authorization to secure copyright protection.* (Sections 3 through 12 concern copyright authorization to facilitate publication of final materials. Section 13 concerns copyright authorization for experimental materials.)

(a) Grantees and contractors are free to exercise their best judgments as to the format and intellectual content of materials being developed under USOE grants and contracts.

(b) Grantees and contractors may publish or have published grant or contract developed materials without copyright, or may seek authorization for publication under copyright, or may elect not to publish.

(c) If the grantee or contractor elects to publish the materials, or to have them published, without copyright, it may do so without the necessity of obtaining approval from the USOE. However, such publication should not be undertaken unless the grantee or contractor believes that educational objectives will be adequately served by that approach. Neither the grantee or contractor, nor any of their employees involved in the devleopment, will publish or have published a copyrighted version within twelve (12) months after the publication date of the uncopyrighted version.

(d) If the grantee or contractor elects to seek authorization for publication under copyright pursuant to the procedures of these Guidelines it should do so at the earliest feasible time, preferably at an early stage in the development cycle.

(e) If the grantee or contractor decides that it is unable or unwilling to publish the materials, or to have them published, it should inform the project officer immediately after such decision is made so that other publication arrangements can be made.

(f) The Commissioner may authorize a grantee or contractor to obtain publication under copyright and to claim the copyright for a specified limited period, generally not to exceed five (5) years, upon a showing that the materials can best be disseminated under copyright. An indication of producer interest in publishing the materials will satisfy the requirement for that showing.

SEC. 4 *Requests for copyright authorization.* (a) Requests for authorization to secure copyright will be addressed to the Commissioner of Education, Attention: Copyright Program Officer, preferably in sufficient time for action before the expiration of the grant or contract.

(b) Each request shall include:

(1) An identification, by number, of the grant or contract involved, the name and address of the USOE project officer, a description of the type or class of materials for which request for authorization to secure copyright is being made, and a copy of the materials, if available.

(2) The rationale whereby the grantee or contractor concluded that the materials should be disseminated under copyright.

(3) A statement on the proposed authorized copyright period and the reasons therefor.

(4) A statement setting forth a proposed "Request for Proposals" which the grantee or contractor intends to use should the request for authorization to secure copyright be approved; a list of prospective producers to be solicited; the best available indication of the size and nature of the estimated market for the materials; and criteria that will be used to select the successful producer, including the proposed publication and dissemination timetable, approximate price to be charged, experience and capability in the field, royalties to be paid, and other appropriate factors. (However, see section 6 below for the treatment of "thin market" materials.)

(5) A statement of any other factors which the grantee or contractor considers to be pertinent to its request.

SEC. 5 *Scholarly and professional journals and periodicals.* In the interest of rapid dissemination of educational information no restriction whatever is placed upon the publication of educational articles in scholarly and professional journals, and in other periodicals.

SEC. 6 *"Thin Market" materials.* Notwithstanding the requirements of section 4 above, the obligation to obtain competition for publication of "thin market" materials will be satisfied by the following procedure:

(a) The grantee or contractor should write to those producers (a minimum of three) which would most likely be interested in publishing the materials. Each should be informed that others are receiving letters. The letter should ask the terms under which the producer would be willing to publish.

(b) The grantee or contractor will furnish copies of the outgoing letters, and of each response, with the copyright authorization request (see section 4), together with a recommendation for selection and the rationale therefor.

(c) The Commissioner will act upon the request in accordance with the provisions of section 8 below.

(d) The Commissioner reserves the right to specify the use of the section 4 procedure if he determines that the materials do not fall within the "thin market" definition.

SEC. 7 *Involvement of producers in development.* (a) Nothing contained in these Guidelines should be interpreted as precluding the involvement of producers in the development of educational materials, provided their involvement is accomplished on a competitive basis so that one producer is not given an undue advantage over other potentially interested producers.

(b) In order to involve producers in the development of educational materials it is contemplated that the "Request for Proposals" specified in subsection 4(b)(4) above will, if desirable, require that the producer perform, in addition to normal publishing and disseminating functions, some additional functions which would normally be identified as development functions. Such functions might include, for example, the printing of experimental materials and their distribution to a specified audience, the design of equipment, the production of films, and similar undertakings.

(c) The advantages seen in involving producers in the development phase are:

(1) Attraction of private investment.

(2) Utilization of unique facilities and expertise.

(3) Guidance in the direction of development toward a viable and salable product, anticipating unique installation and use problems.

(4) Ease of transition from development phase to publication phase.

SEC. 8. *Decision of the Commissioner.*

All requests for authorization to secure copyright will be considered by the Commissioner. The grantee or contractor will be notified of the Commissioner's decision.

(a) Where the request is denied, the grantee or contractor will be advised of the reasons for the denial. In such case, the contractor or grantee may request reconsideration within thirty (30) days after receipt of the Commissioner's decision.

(b) For requests which are approved, an agreement, setting forth the conditions under which the grantee or contractor is authorized to secure publication under copyright, including the conditions set forth in section 9 of these Guidelines, and any other conditions deemed appropriate by the Commissioner, will be sent to the grantee or contractor for signature. The agreement will authorize the grantee or contractor to issue the Request for Proposals to prospective producers, to select a producer, and to prepare a publication and dissemination contract.

(c) After receipt and evaluation of the proposals, the grantee or contractor shall submit the name of the producer selected, and the rationale for selection, to the Office of Education for approval of the selection prior to negotiating final terms of a publication and dissemination contract with the producer selected. The publication and dissemination contract will not be executed until it has been approved by the Commissioner.

(d) A grantee or contractor, which has a dissemination capability in addition to a development capability, may be authorized to disseminate materials it has developed, under copyright, under appropriate conditions, upon a showing that such dissemination would be in the public interest.

Sec. 9 *General conditions.* Authorization to publish under copyright shall be subject to such conditions as the Commissioner may deem appropriate, including, but not limited to, the following:

(a) The copyright will normally be in the name of the grantee or contractor.

(b) Neither the grantee or contractor, nor any of their employees, without prior written approval of the Commissioner, shall publish or have published any revision or adaptation of the copyrighted materials during such period of time as the Commissioner shall determine, but not to exceed the authorized copyright period.

(c) In addition to any attribution clause that may be required by reason of the grant or contract, a legend, in the form designated by the Commissioner, will be applied to the copyrighted work which will provide notice of the time limitation imposed by the copyright authorization agreement.

(d) Within six (6) months after publication of the copyrighted material the copyright claim will be registered in the U.S. Copyright Office by the grantee or contractor or by the producer for the grantee or contractor. The application for registration will state the date after which the copyright may no longer be claimed.

(e) With respect to any materials for which the securing of copyright protection is authorized pursuant to these Guidelines, the U.S. Government shall be granted an irrevocable, nonexclusive, and royalty-free license to publish, translate, reproduce, deliver, perform, use and dispose of all such materials for U.S. governmental purposes.

(f) In the event the Commissioner finds that the producer has failed to comply with the terms of his publication and dissemination contract with the grantee or contractor, the Commissioner shall have the right to license others to publish the materials covered by the copyright and to take such other action as may be authorized under the publication and dissemination contract: *Provided*, That the grantee or contractor and the producer shall be given writen notice of any action proposed to be taken by the Commissioner and afforded an opportunity to be heard.

(g) If the materials for which copyright is sought are products of a project which is funded jointly with another organization or other organizations or with another Government agency the Commissioner may negotiate with the other organization(s) or agency the terms and conditions by which publication under copyright will be authorized. The purpose of the negotiation will be to reach an accommodation in the event such organization(s) or agency have copyright policies which differ from the Office of Education policy.

Sec. 10 *Royalties.* (a) As a basic proposition it is contemplated that each cosponsor of a project, if there is more than one, is entitled to share in any royalties from published materials resulting from that project in proportion to the financial or equivalent contribution to the project by the cosponsor.

(b) The grantee or contractor shall remit royalties from the sale or rental of the copyrighted materials to the Office of Education for transmittal to the U.S. Treasury. However, the Commissioner may authorize the grantee or contractor to retain a portion of the royalty income to defray administrative expenses to the grantee or contractor resulting from its compliance with the procedures of these Guidelines, and as an incentive to induce the grantee or contractor to develop better materials and to obtain more effective dissemination. The sharing will be accomplished in the following manner: (The grantee or contractor may elect to retain an amount of royalty determined from one of the following two alternative approaches.)

(1) Fifty percent of the net royalty. (Net royalty is defined as that amount remaining after deducting any share or shares due to a cosponsor or cosponsors, other than the U.S. Government or the grantee or contractor, as contemplated in subsection 10(a) above.)

(2) That percentage which corresponds with the financial contribution to the project by the grantee or contractor. (If the grantee or contractor elects this latter alternative the burden of showing such contribution will be upon the grantee or contractor. However, the Commissioner reserves the right to accept or reject such a showing, and to specify the share, not less than 50 percent of the net royalty, to be retained by the grantee or contractor.)

(c) Profit type contractors are not permitted to share in royalties under the provisions of subsection 10(b) above. However, arrangements may be made to allow such contractors to retain royalties to defray administrative expenses, not otherwise recoupable under the contract, incurred in obtaining publication of materials under copyright in accordance with these Guidelines.

Sec. 11. *Publication arranged by the Office of Education.* In the event the grantee or contractor is unwilling or unable to undertake the task of obtaining effective dissemination of the materials in accordance with the requirements of section 4 or 6 hereof, and does not publish or have published without copyright, and provided the Commissioner determines that publication under copyright will promote more effective dissemination and use, the Office of Education may undertake the task of arranging for such dissemination. In that event all royalties which are generated will be paid by the publisher to the U.S. Office of Education, and the grantee or contractor will not share in such royalties.

Sec. 12 *Waiver of guidelines requirements.* (a) The Commissioner reserves the right to permit a grantee or contractor to secure and claim statutory full term copyright in materials, subject only to the requirement that the U.S. Government be granted a royalty free, nonexclusive and irrevocable license to publish, translate, reproduce, deliver, perform, use and dispose of all such materials, for U.S. Government purposes, in those situations wherein the financial support by organizations other than the U.S.

Government is so great, as compared with the contribution of the U.S. Government, that it would be inequitable to require more than the said license.

(b) The Commissioner reserves the right to waive or modify the application of these Guidelines to any other situation where he determines such waiver or modification is in the public interest.

SEC. 13 *Copyright protection during development.* The Office of Education recognizes that there may be occasions where it will be in the public interest to prevent curriculum and other materials from falling into the public domain prematurely while they are being developed, tested, and evaluated. Grantees and contractors may take necessary steps to protect such materials during development, testing, or evaluation: *Provided*, That they shall not be copyrighted without the express approval of the Commissioner. The Commissioner may approve requests to secure copyright and to claim copyright for a limited period of time during development, testing, and evaluation, where it can be demonstrated that such protection is necessary for the effective development of the materials. Grantees and contractors may obtain such approval by submitting a written request to the Commissioner of Education, Attention: Copyright Program Officer, setting forth the reasons why copyright is needed.

SEC. 14. *Statement of copyright policy.* It is the policy of the U.S. Office of Education that the results of activities supported by it should be utilized in the manner which will best serve the public interest. This can be accomplished, in some situations, by distribution of materials without copyright. However, it is recognized that copyright protection may be desirable, in other situations, during development or as an incentive to promote effective dissemination of such materials. In the latter situations, arrangements for copyright of such materials, normally for a limited period of time, may be authorized under appropriate conditions upon a showing satisfactory to the Office of Education that such protection will result in more effective development or dissemination of the materials or would otherwise be in the public interest.

(20 U.S.C. 2)

Effective date: These Copyright Guidelines shall take effect 30 days after publication in the FEDERAL REGISTER.

JAMES E. ALLEN, Jr.,
Assistant Secretary for Education and U.S. Commissioner of Education.

MAY 4, 1970.

[F.R. Doc. 70-5701; Filed, May 6, 1970; 8:46 a.m.]

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE/Office of Education
National Center for Educational Communication

APPENDIX D

GRANT TERMS AND CONDITIONS

GRANT TERMS AND CONDITIONS

---

1. Definitions
2. Scope of the Project
3. Limitations on Costs
4. Allowable Costs
5. Accounts and Records
6. Payment Procedures
7. Reports
8. Printing and Duplicating
9. Termination
10. Applicability Local **Laws** and Institutional Procedures
11. Copyright and Publication
12. Acknowledgement and Disclaimer in Publication
13. Patent Rights
14. Travel
15. Equipment
16. Contracting Under Grants
17. Health and Safety Standards
18. Compensation
19. Labor Standards
20. Equal Employment Opportunity
21. Use of Consultants
22. Clearance of Forms
23. Grant Related Income and Investment Income
24. Change of Key Personnel
25. Animal Care

---

1. Definitions

As used in the grant documents relating to this award, the following terms shall have the meaning set forth below:

a. "Commissioner" means the U.S. Commissioner of Education.

b. "Grantee" means the agency, institution, or organization named in the grant as the recipient.

c. "Grants Officer" means the employee of the U.S. Office of Education who is authorized to execute and is responsible for the administration of the grant on behalf of the Government.

d. "Program Officer" means the employee of the U.S. Office of Education who is responsible for the technical monitoring of the project of the Grantee as representative of the Grants Officer.

e. "Project Director" is the person responsible for directing the project of the Grantee.

f. "Project" is the activity or program defined in the proposal approved by the Commissioner for support.

g. "Grant Period" means the period specified in the Notification of Grant Award during which cost may be charged against a Grant.

h. "Budget" means the estimated cost of performance of the project as set forth in the Notification of Grant Award.

2. Scope of the Project

The project to be carried out hereunder shall be consistent with the proposal as approved for support by the Commissioner and referred to in the Notification of Grant Award and shall be performed in accordance with this approved project proposal. No substantive changes in the program of a project shall be made unless the Grantee submits (at least thirty days prior to the effective date of the proposed change) an appropriate amendment thereto, along with the justification for the change, and this amendment is approved in writing by the Grants Officer.

3. Limitations on Costs

a. The total costs to the Government for the performance of the grant shall not exceed the amount set forth in the Notification of Grant Award or any appropriate modification thereof.

b. The Grantee may transfer funds among the various cost categories in the negotiated budget to the extent necessary to assure the effectiveness of the project, except that, no transfers may be made which alter the approved project.

c. Funds for the production of audio visual materials (i.e., motion picture films, videotapes, film strips, slide sets, tape recordings, exhibits, or combinations thereof) for viewing, whether for limited or general public use, are not authorized until prior written approval is received from the Grants Officer.

d. The limitation on costs stated in paragraph "a" above shall automatically be increased to cover the cost of allowance for additional dependents not specified in the Notification of Grant Award.

4. Allowable Costs

a. Expenditures of the Grantee may be charged to this grant only if they: (1) are incurred subsequent to the effective date of the project indicated in the Notification of Grant Award, which shall be no earlier than the date upon which the award document is signed by the Grants Officer, and (2) conform to the approved project proposal.

b. Subject to paragraphs (a) allowability of costs incurred under this grant shall be determined in accordance with the principles and procedures set forth in the documents identified below, as amended prior to the date of the award.

(1) Exhibit X-2-65-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is an institution of higher education; or

(2) Exhibit X-2-66-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a hospital as defined therein; or

(3) Exhibit X-1-76-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a non-profit institution; or

(4) Chapter 5-60 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a State or local Government agency.

c. In accordance with the policy of the Department of Health, Education, and Welfare, if the Grantee has an audited indirect cost rate that has been approved by the Office of Grants Administration Policy, this approved rate may be applied to both the Federal and non-Federal share of allowable direct costs of the project. When an indirect cost rate is applied to either the Federal or non-Federal share of project costs, no item normally included in the Grantee's indirect cost pool (such as supervision, accounting, budgeting, or maintenance) shall be listed as a direct cost of the project. Procedures for establishing Indirect Cost Rates are covered in Department of Health, Education, and Welfare brochures: OASC-1, A Guide for Educational Institutions; OASC-3, A Guide for Hospitals; OASC-5, A Guide for Non-Profit Institutions; OASC-6, A Guide for State Government Agencies; OASC-7, Department of Health, Education, and Welfare Provisions for Establishing Indirect Cost Rates under OMB Circular A-88; and OASC-8, A Guide for Local Government Agencies.

d. Indirect costs for educational training programs will be allowed at the lesser of the organizational indirect costs or 8% of total direct costs, including stipends and dependency allowances, except for State and Local Governments.

5. Accounts and Records

a. Accounts

The Grantee shall maintain accounts, records and other evidence pertaining to all costs incurred, and revenues or other applicable credits acquired under this grant. The system of accounting employed by the Grantee shall be in accordance with generally accepted accounting principles generally used by State or local agencies or institutions of higher education, or non-profit organizations, as appropriate, and will be applied in a consistent manner so that the project expenditures can be clearly identified.

b. Cost Sharing Records

The Grantee's records shall demonstrate that any contribution made to the project by the Grantee is not less, in proportion to the charges against the grant, than the percentage specified in the grant or any subsequent revision thereof.

c. Examination of Records

All records directly relating to transactions under this grant are subject to inspection and audit by the Department of Health, Education, and Welfare and by the General Accounting Office at all reasonable times during the period of retention provided for in paragraph (d) below.

d. Disposition of Records

Except as provided in paragraph (e), all pertinent records and books of accounts related to this grant in the possession of the Grantee shall be preserved by the Grantee for a period of three (3) years after the end of the budget period, if audit by or on behalf of the Department has occurred by that time; or if audit by or on behalf of the Department has not occurred by that time, the records must be retained until audit or until five (5) years following the end of the budget period, whichever is earlier.

e. Questioned Expenditures

Records relating to any litigation or claim arising out of the performance of this grant, or costs and expenses of this grant to which exception has been taken as a result of inspection or audit shall be retained by the Grantee until such litigation, claim, or exception has been disposed of.

6. Payment Procedures

To obtain Federal funds, the Grantee shall receive payments in accordance with the payment schedule which is set forth in the Special Terms and Conditions.

7. Reports

The Grantee shall submit such fiscal and technical reports as may be required by the Grants Officer, and in the quantity and at the time stated in the report schedule which is set forth in the Special Terms and Conditions.

8. Printing and Duplicating

All printing and duplicating authorized under this grant is subject to the limitations and restrictions contained in the current issue of the U.S. Government Printing and Binding Regulations if done for the use of the Office of Education within the meaning of those Regulations.

9. Termination

a. Grants may be terminated in whole or in part by the Government and such termination shall be in accordance with any applicable Public Law and/or Regulations (45 C.F.R.).

b. Termination shall be effected by delivery to the Grantee of a written notification thereof, signed by the Grants Officer.

Financial obligations incurred by the Grantee prior to the effective date of the termination will be allowable to the extent they would have been allowable had the grant not been terminated. The Grantee agrees to furnish the Grants Officer within sixty (60) days of the effective date of termination, an itemized accounting of funds expended, obligated, and remaining under the grant. The Grantee also agrees to remit within thirty (30) days of the receipt of a written request therefor any amounts found due.

10. Applicability of State and Local Laws and Institutional Procedures Regarding Expenditure of Funds

Except to the extent otherwise provided for in this document, or any document incorporated herein by reference, nothing herein or therein shall be construed so as to alter the applicability to the Grantee of any State or local law, rule, regulation, or any institutional procedure which would otherwise pertain to the expenditure of funds.

11. Copyright and Publication

a. The term "materals" as used herein means writings, sound recordings, films, pictorial reproductions, drawings or other graphic representations, computer programs, and works of any similar nature produced under this grant. The term does not include financial reports, cost analyses, and similar information incidental to grant administration.

b. It is the policy of the Office of Education that the results of activities supported by it should be utilized in the manner which would best serve the public interest. To that end, except as provided in paragraph (c), the Grantee shall not assert any rights at common law or in equity or establish any claim to statutory copyright in such materials; and all such materials shall be made freely available to the Government, the education community, and the general public.

c. Notwithstanding the provisions of paragraph (b) above, upon request of the Grantee or his authorized designee, arrangements for copyright of the materials for a limited period of time may be authorized by the Commissioner, through the Grants Officer, upon a showing satisfactory to the Office of Education that such protection will result in more effective development of dissemination of the materials and would be in the public interest.

d. With respect to any materials for which the securing of a copyright protection is authorized under paragraph (c), the Grantee hereby grants a royalty-free, nonexclusive and irrevocable license to the Government to publish, translate, reproduce, deliver, perform, use and dispose of all such materials and to make any use of it.

e. To the extent the Grantee has the right and permission to do so, the Grantee hereby grants to the Government a royalty-free, non-exclusive and irrevocable license to use in any manner, copyrighted material not first produced in the performance of this grant but which is incorporated in the materials. The Grantee shall advise the Grants Officer of any such copyrighted material known to it not to be covered by such a license.

12. Acknowledgment and Disclaimer in Publication

Any publication or presentation resulting from or primarily related to the project being performed hereunder shall contain the following acknowledgment:

> The project presented or reported herein was performed pursuant to a Grant from the U.S. Office of Education, Department of Health, Education, and Welfare. However, the opinions expressed herein do not necessarily reflect the position or policy of the U.S. Office of Education, and no official endorsement by the U.S. Office of Education should be inferred.

13. Patent Rights

a. Policy

In accordance with Department of Health, Education, and Welfare Regulations (45 CFR Subtitle A, Parts 6 and 8), all inventions made in the course of or under any Office of Education grant shall be promptly and fully reported to the Assistant Secretary (Health and Scientific Affairs), Department of Health, Education, and Welfare.

The grantee institution and the principal investigator shall neither have nor make any commitments or obligations which conflict with the requirements of this policy.

b. Determination

Determination as to ownership and disposition of invention rights, including whether a patent application shall be filed, and if so, the manner of obtaining, administering, and disposing of rights under any patent application or patent which may be issued shall be either:

(1) by the Assistant Secretary (Health and Scientific Affairs) whose decision shall be considered final, or

(2) where the institution has a separate formal insitutional agreement with the Office of Education or the Department, by the grantee institution in accordance with such agreement.

Patent applications shall not be filed on inventions under (1) above without prior written consent of the Assistant Secretary (Health and Scientific Affairs) or his representative. Any patent application filed by the Grantee on an invention made in the course of or under an Office of Education grant shall include the following statement in the first paragraph of the specification:

"The invention described herein was made in the course of, or under, a grant from the U.S. Office of Education, Department of Health, Education, and Welfare."

c. Reports and Other Requirements

A complete written disclosure of each invention in the form specified by the Assistant Secretary (Health and Scientific Affairs) shall be made by the Grantee promptly after conception or first actual reduction to practice, whichever occurs first under the grant. Upon request, the Grantee shall furnish such duly executed instruments (prepared by the Government) and such other papers as are deemed necessary to vest in the Government the rights reserved to it under this policy statement to enable the Government to apply for and prosecute any patent application, in any country, covering each invention where the Government has the right to file such application.

The Grantee shall furnish interim reports (Annual Invention Statements) prior to the continuation of any grant listing all inventions made during the budget period whether or not previously reported, or certifying that no inventions were made during the applicable period. Upon completion of the project period, the Grantee shall furnish a final invention report listing all inventions made during performance of work on the supported project or certifying that no inventions were made during that work.

d. Supplementary Patent Agreements

The Grantee shall obtain appropriate patent agreements to fulfill the requirements of this provision from all persons who perform any part of the work under the grant, except such clerical and manual labor personnel as will have no access to technical data, and except as otherwise authorized in writing by the Department.

The Grantee shall insert in each subcontractor or agreement having experimental, developmental, or research work as one of its purposes, a clause making this provision applicable to the subcontractor and its employees.

e. Definitions

As used in this provision, the stated terms are defined as follows for the purposes hereof:

(1) "Invention" or "invention or discovery" includes any art, machine, manufacture, design, or composition of matter, or any new and useful improvement thereof, or any variety of plant, which is or may be patentable under the Patent Laws of the United States.

(2) "Made" when used in relation to any invention or discovery means the conception or first actual reduction to practice of such invention in the course of the grant.

f. Inventions Resulting from Grants Made in Support of Research by Federal Employees

Inventions resluting from grants made in support of research by Federal employees shall be reported simultaneously to the Assistant Secretary (Health and Scientific Affairs) pursuant to terms of the grant and to the employing agency under the terms of Executive Order 10096, as amended.

14. Travel

Travel allowances shall be paid in accordance with applicable State and local laws and regulations and grantee policies. If none of these are applicable, travel shall be done in accordance with Federal Government regulations. No foreign travel is authorized under the grant unless prior approval is received from the Grants Officer. Travel between the United States and Guam, American Samoa, Puerto Rico, the U.S. Virgin Islands, the Canal Zone, and Canada is not considered foreign travel.

15. Equipment

Title to, and accountability for, equipment shall be determined in accordance with Chapter 1-410, Management of Equipment and Supplies Acquired Under Project Grants, of the Department of Health, Education, and Welfare Grants Administration Manual and the Property Management/Inventory System Operating Procedures issued by the Contracts and Grants Division, Office of Education.

16. Contracting Under Grants

The Grantee may enter into contracts or agreements (to the extent permitted by State and local law) for the provision of part of the services under this grant by other appropriate public or private agencies or institutions. Such contract or agreement shall incorporate all rules and regulations applicable to the program, shall describe the services to be provided by the agency or institution, and shall contain provisions assuring that the Grantee will retain supervision and administrative control over the provision of services under the contract. Services to be provided by contract pursuant to this section shall be specified in the project proposal or in an amendment thereto, and the proposed contract shall be submitted to the Grants Officer and by approved by him in writing.

17. Health and Safety Standards

Whenever the Grantee, acting under the terms of the grant, shall rent, lease, purchase, or otherwise obtain classroom facilities (or any other facilities) which will be used by students and faculty, the Grantee shall comply with all health and safety regulations and laws applicable to similar facilities being used in that locality for such purpose.

18. Compensation

If a staff member is involved simultaneously in two or more projects supported by funds from the Federal Government, he may not be compensated for more than a total of one-hundred percent (100%) time from such Government funds for all projects during any given period of time.

19. Labor Standards

To the extent that grant funds will be used for alteration and repair (including painting and decorating) of facilities, the Grantee shall furnish the Grants Officer with the following:

a. a description of the alteration or repair work and the estimated cost of the work to be performed at the site;

b. the proposed advertising and bid opening dates for the work;

c. the city, county, and State at which the work will be performed; and

d. the name and address of the person to whom the necessary wage determination and labor standards provisions are to be sent for inclusion in contracts; not later than six (6) weeks prior to the advertisement for bids for the alteration or repair work to be performed. The Grantee shall also include or have included in all such alterations or repairs the wage determination and labor standards provisions that are provided and required by the Secretary of Labor under 29 CFR Parts 3 and 5.

20. Equal Employment Opportunity

With respect to repair and minor remodeling, the Grantee shall comply with and provide for Contractor and Subcontractor compliance with the requirements of Executive Order 11246 as implemented by 41 CFR Part 60. The terms required by Executive Order 11246 will be included in any contract for construction work, or modification thereof, as defined in said Executive Order.

21. Use of Consultants

a. The hiring and payments to consultants shall be in accordance with applicable State and local laws and regulations and grantee policies. However, for the use of and payment to consultants whose rate will exceed $100.00 per day, prior written approval for the use of such consultants must be obtained from the Grants Officer.

b. The Grantee must maintain a written report for the files on the results of all consultations charged to this grant. This report must include, as a minimum: (1) the consultant's name, dates, hours, and amount charged to the grant; (2) the names of the grantee staff to whom the services are provided; and (3) the results of the subject matter of the consultation.

22. Clearance of Forms

To permit monitoring and clearance, the Grantee is to submit to the appropriate Program Officer, prior to use, five (5) copies of all tests, questionnaires, interview schedules or guides, and rating scales which are to be employed in collecting data from 10 or more individuals or organizations. A brief report of related information (such as purposes of the study, relevance of the data-gathering instruments to these purposes, nature of the sample, number of respondents, burden on respondents, etc.) must accompany the copies of the instruments, in accordance with directions from the Office of Education.

EXCEPTIONS:

a. Copies need not be submitted of conventional instruments which deal solely with (1) cognitive functions or technical proficiency (e.g., scholastic aptitude, school achievement, etc.), (2) routine demographic information, or (3) routine institutional information; but a report of the "related information" (as specified above) concerning the particular date-gathering instruments must be supplied to the Program Officer in order to permit appropriate monitoring and clearance.

b. Ordinary classroom tests employed in the development of a new curriculum or as part of the regular instructional routine, constituting part of the project for which funds are granted, need be neither reported nor submitted; but final tests employed in such a project, serving purposes of evaluation, must be reported; and, if significantly unusual in such essential features as content, directions, form of response, etc., must be submitted in five (5) copies.

23. Grant-Related Income and Investment Income

Interest or other income earned by investment of the grant funds is termed "Investment Income." Any Investment Income earned by the grantee on advance funds received under this grant, is to be paid to the U.S. Office of Education for deposit as Miscellaneous Receipts in the U.S. Treasury, unless the grantee is a State or State agency. If the grantee is a State or State agency, the grantee is not accountable to the U.S. Office of Education for its use of Investment Income monies. Income derived by the grantee from activities supported or funded by this grant, other then Investment Income and Copyright Royalty Income, is termed "Grant-Related Income." Such income may be produced by the services of the grantee organization. Any such grant-related income earned under this grant is to be used by the grantee to further the purposes of the grant program. If the income cannot be so used, it is to be paid by the grantee to the U.S. Office Education, for deposit as Miscellaneous Receipts in the Treasury. Except for that portion of Royalty Income authorized to be retained in accordance with 35 Federal Register 7317, the U.S.O.E Copyright Guidelines, Royalty Income is to be paid by the grantee to the U.S. Office of Education, for deposit as Miscellaneous Receipts in the Treasury. If the grantee receives any grant-related income or investment income in connection with this grant, the grantee shall maintain records of the receipt and disposition of the Federal share of such income.

24. Changes in Key Personnel

The project Director and other grant personnel specified by name in the proposal are considered to be essential to the work being performed. If for any reason substitution of a specified individual becomes necessary, the Grantee shall provide timely written notification to the Grants Officer. Such written notification shall include the successor's name with a resume of his qualifications.

25. Animal Care

Where research animals are used in any project financed wholly or in part with Federal funds, every precaution shall be taken to assure proper care and humane treatment of such animals.

APPENDIX E

Bibliography of OE Related Documents

BIBLIOGRAPHY OF OE-RELATED DOCUMENTS

Adams, Bert K., Quentin M. Hill, Joseph A. Perkins, Jr. and Philip S. Shaw. Principles of Public School Accounting, U.S. Department of Health, Education, and Welfare, Washington, D.C. 1967.

This handbook is designed for people who will be recording and reporting to others on financial information about a school district. It may be used as a self-instruction tool as well as a supplementary reference in formal methods of training in school accounting. A set of the accounting records for a hypothetical school district is also included in the handbook.

Educational Change Through State Leadership, ESEA Title III, U.S. Department of Health, Education and Welfare, Washington, D.C., 1969.

This publication presents a compilation of major issues explored at three Title III Regional meetings. The issues include: (a) the essential conditions which should exist in State educational agencies to facilitate creative change; (b) the understanding and competency required in the operation and management of Title III programs to provide educational accountability; and (c) the strategies which could contribute to State staff development, educational needs assessment, and evaluation and dissemination to complete the FY 1970 Title III State Plan requirements.

Lichtenberger, Allan R. and Richard J. Penrod. Staff Accounting for Local and State School Systems. U.S. Department of Health, Education and Welfare, Washington, D.C., 1966.

Hundreds of educators representing all regions of the United States, and 10 national educational associations, were involved cooperatively with the Office of Education in developing this handbook. It is a basic guide that identifies and defines those items of information about school staff members which need to be collected and maintained by local and State school systems. Used as defined, the items provide the basis for accurate recording of staff information in comparable form throughout the country.

Manual for the Preparation of the Consolidated Program Information Report for Fiscal Year Ending June 30, 1970. U.S. Department of Health, Education, and Welfare, Washington, D.C.

This manual is to be used in conjunction with Consolidated Program Report Form (CPIR)--it gives explanations and aids which are complementary to those in the form. The report is designed to gather and present data useful in program planning at the local, State, and Federal levels, and to satisfy the primary statistical requirements with regard to Federal statutes administered by the Bureau of Elementary and Secondary Education.

Pope, Hoyt W., Everett V. Samuelson and George G. Tankard, Jr., Financial Accounting for School Activities. U.S. Department of Health, Education and Welfare, Washington, D.C., 1962.

This handbook is a guide for the financial accounting of all money received by individual schools for school activities. It establishes standard accounts and terminology to be used in accounting for school activity money, classifies and defines standard receipt and expenditure accounts, and includes a system of accounting for illustrative purposes.

Preparing Evaluation Reports: A Guide for Authors. U.S. Department of Health, Education, and Welfare, Washington, D.C., 1970 OE-10065

This handbook is designed to aid in the preparation of an evaluation report by outlining what to include and how to report it. The four basic factors dealt with are: (1) suggestions about what you might include to describe the content or background of the program you are writing about, (2) "description of the program itself,"(3) discussion on the reporting of evidence of changes brought about by the program, and (4) recommendations.

Project Descriptor Workbook: Field Test Form. The Educational Testing Service, Princeton, New Jersey and the U.S. Department of Health, Education, and Welfare, Washington, D.C.

This workbook and the Guide for Authors of Evaluation Reports are designed to insure the participation of States in a comprehensive evaluation system. Jointly, they solicit data pertinent to (1) obtaining precise descriptions of programs and projects funded by Federal sources, (2) making comparisons of programs and projects across funding sources, and (3) examining relationships among components of programs and projects.

Putnam, John F. and George G. Tankard, Jr., Pupil Accounting for Local and State School Systems. U.S. Department of Health, Education and Welfare, Washington, D.C., 1965.

Ten national education associations worked cooperatively with the Office of Education to develop this guide which local and State school systems may use for pupil accounting. It classifies and defines specific items of information about pupils; presents additional related terminology and provides the basis for maintaining records about all pupils who are in elementary schools, secondary schools, junior colleges, and adult education programs under the jurisdiction of local boards of education. Items identified in this handbook should be maintained on a comparable basis wherever collected by local school districts and other units operating schools.

Reason, Paul L. and Alpheus L. White. Financial Accounting for Local and State School System: Standard Receipt and Expenditure Accounts. U.S. Department of Health, Education and Welfare, Washington, D.C. 1966.

Five nationwide educational associations cooperated with the U.S. Office of Education in preparing this manual for the use of State and local school systems. This manual includes standard receipt and expenditure accounts, standard financial accounts, a guide for determining per-pupil expenditures, suggested methods for prorating expenditures, an index for recording specific receipts and expenditures, and detailed criteria for classifying items.

Reason, Paul L. and George G. Tankard, Jr., Property Accounting for Local and State School Systems. U.S. Department of Health, Education and Welfare, Washington, D.C., 1966.

Local and State school systems may use this handbook as a guide to property accounting. It classifies and defines the specific items of information about land, buildings, and equipment which need to be comparable among State and local school systems and presents terminology essential to their effective use. This entire classification of standard accounts as it might be used with record forms is illustrated. Additionally, commonly used measures of school property and criteria for distinguishing between supplies and equipment are presented.

APPENDIX F

AUTHORIZATIONS FOR ESEA TITLE III

TABLE I

TITLE III, ESEA, AUTHORIZATIONS, APPROPRIATIONS, AND OBLIGATIONS BY FISCAL YEAR

	1966*	1967*	1968*	1969*	1970*	1971*	1972*	Total
Authorizations	$100,000,000	$175,000,000	$500,000,000	$512,500,000	$550,000,000	$550,000,000	$605,000,000	2,992,500,000
Appropriations	75,000,000	135,000,000	187,876,000	164,876,000	116,393,000	143,393,000	146,248,000	968,786,000
Obligations by OE	46,128,107	162,396,786	182,810,506	164,773,507	116,393,000	143,393,000	146,248,000	962,142,906
Unobligated Balances by SEA's	---	1,475,107	5,065,494	102,493	---	---	---	6,643,094

---

*FY 1966 funds were available for obligation in FY 1967. The $1,475,107 shown as unobligated on 6/30/67 represents the total unobligated balance of both FY 1966 and FY 1967 appropriations.

**All funds were obligated by OE in FY 1970. We have no good record of what the States actually spent of this amount.

***Includes $150,000 reserved for PNAC activities.

TABLE 3
SUMMARY OF TITLE III PROJECTS SUBMITTED TO USOE AND APPROVED BY USOE BY FISCAL YEAR

	TOTAL PROJECTS[1]		PLANNING PROJECTS		OPERATIONAL PROJECTS	
	Number of Projects	Amount of Funds Requested [2]	Number of Projects	Amount of Funds Requested	Number of Projects	Amount of Funds Requested
Projects Submitted						
FY 1966	2,706	$249,683.5	1,484	$ 73,703.5	1,222	$175,980.0
FY 1967	1,767	260,602.9	451	29,331.9	1,316	231,271.0
FY 1968	1,678	215,472.9	280	18,192.1	1,398	197,280.8
FY 1969	23	3,063.4	9	1,722.4	14	1,341.0
4 Year Total - Regular	6,174	$728,822.7	2,224	$122,949.9	3,950	$605,872.8
Mini-Grants Submitted						
FY 1967	540	11,616.8				
FY 1968	13	291.3				
Cumulative Total (4 Year Total and Mini-Grants)	6,727	$740,730.8				

---

[1] U.S. Congress, Elementary and Secondary Education Act Amendments of 1967, H.R.7819, Public Law 90-247, 90th Congress, 2nd Session, 1967, Section 305(c) and (d).

[2] Status Report - ESEA, Title III by Analysis Section, Division of Plans and Supplementary Centers, U.S. Office of Education, March 7, 1969.

TABLE 3--Continued

ITEM	TOTAL PROJECTS		PLANNING PROJECTS		OPERATIONAL PROJECTS	
	Number of Projects	Amount of Funds Requested	Number of Projects	Amount of Funds Requested	Number of Projects	Amount of Funds Requested
Projects Submitted						
FY 1966	1,085	$ 86,854.0	665	$ 35,464.7	420	$ 51,389.3
FY 1967	935	115,443.3	247	15,797.9	688	99,645.4
FY 1968	582	72,281.3	80	5,501.5	502	66,779.8
FY 1969	6	430.8	1	24.6	5	406.2
4 Year Total - Regular	2,608	$275,009.4	993	$ 56,788.7	1,615	$218,220.7
Mini-Grants Approved						
FY 1967	224	4,818.3				
FY 1968	8	184.7				
Cumulative Total (4 Year Total and Mini-Grants)	2,840	$280,012.4				

APPENDIX G

CSE HIERARCHICAL OBJECTIVES CHARTS

Produced by

Center for the Study of Evaluation, UCLA

Center for the Study of Evaluation
University of California, Los Angeles

CSE HIERARCHICAL OBJECTIVES CHARTS

These charts depict one way of outlining the goals and objectives of elementary school education. While the charts undoubtedly will have many other purposes, they were designed to complement the Elementary School Evaluation KIT: Needs Assessment. The KIT is intended to be used primarily by elementary school principals as an aid in selecting, collecting, and interpreting information that will be needed in making a certain type of educational policy decision. The KIT, also developed by the Center for the Study of Evaluation, is undergoing final field testing during the 1970-71 school year.

As a part of the Needs Assessment process, the Center has categorized the goals of elementary school education into 41 broad goal areas and 104 subgoals. The 145 major categories offered by these goal areas and subgoals are being used as a means to categorize all published stardardized tests or subtests into the objective areas which they serve best. The tests are further rated in terms of a number of criteria in a Center publication, the CSE Elementary School Test Evaluations, which has already begun to enjoy wide distribution. This means that one might check the availability and quality of tests for each of the specified goal areas of elementary education. For many of the goal areas either no standardized tests exist or the quality of the offerings for that goal area is so poor that in essence the user has no choice.

Thus, as an alternative, we have prepared these goal charts depicting the 145 goal areas and have broken each down in terms of its subgoals or objectives in a hierarchical fashion. The charts contain objectives ranging from broad goal areas to more specific objectives which lead to but do not include behavioral objectives. Behavioral objectives may easily be added by referring to collections such as those provided by the Instructional Objectives Exchange.

The most important feature of the CSE Hierarchical Objectives Charts is that they enable a potential user to begin the development of an objectives-based (criterion-referenced) evaluation system in areas where the offerings of standardized tests are poor or inappropriate. Thus, for example, in objective 39 (blue sheet) Geography is broken down into two subgoal dimensions: A. Knowledge of Physical Geography, and B. Knowledge of Socio-Economic Geography. The level of the Hierarchical Objectives Charts represented by the two dimensions just mentioned (A and B above) corresponds to the 145 major categories mentioned earlier as the organization scheme for CSE Elementary School Test Evaluations. Each of these levels is in turn divided into several components. For example, two of the elements of Knowledge of Socio-Economic Geography are: 1. Environment, and 2. Technology. These in turn are further broken down into subobjectives, as depicted in the chart following.

B. Knowledge of Socio-Economic Geography

- 1. Environment
  - a. understands variations in population
  - b. understands variations in natural resources
  - c. knows how topography, resources, and climate affect man's location and economic activity
  - d. knows specific areas of production of farm, factory, forest, fish, and mine products
- 2. Technology
  - a. knows how technology affects geographic conditions and man's location and economic activity
  - b. knows how improved communication and transportation affect geography and economic activity

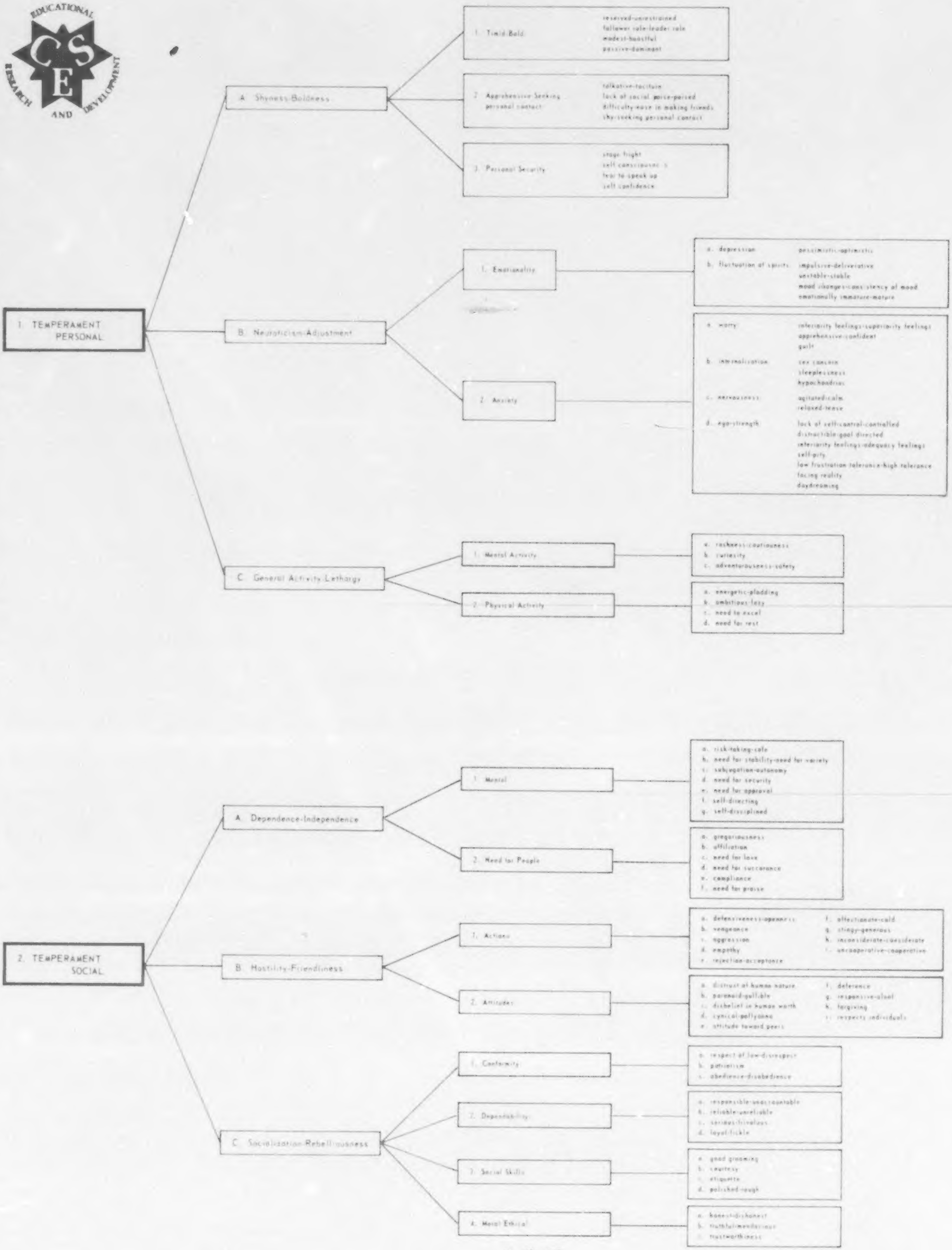
The procedure for developing an objectives-based evaluation system for the area of Environment or for the broader level of Knowledge of Socio-Economic Geography would involve writing behavioral objectives for the statements in the last column of the chart. Many statements may demand several behavioral objectives, and each behavioral objective will require a pool of test items. Thus, the hierarchical objectives charts provide a framework for organizing the development of an objectives-based evaluation system.

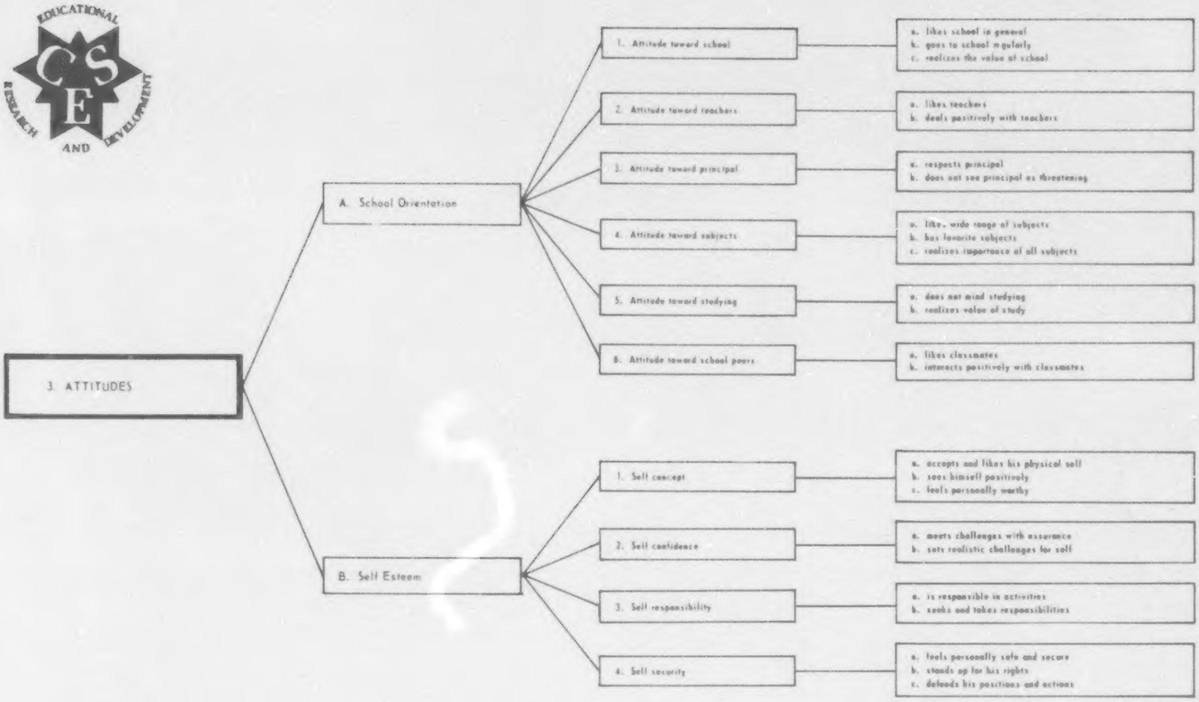
In addition, the hierarchical objectives charts provide a means of linking broad goal areas to specific behavioral objectives, insuring that the objectives used in the classroom are focused on achieving the more broadly stated goals of the system. This concept is at the very heart of the notion of accountability in education.

The charts were compiled primarily for use in relation to the Elementary School Evaluation KIT: Needs Assessment, and thus the hierarchical listing of goals used here is compatible with that system. That is, the materials had as their purpose curriculum evaluation rather than curriculum development. If the charts are of some value to curriculum developers or planners, we are delighted at these "side benefits".

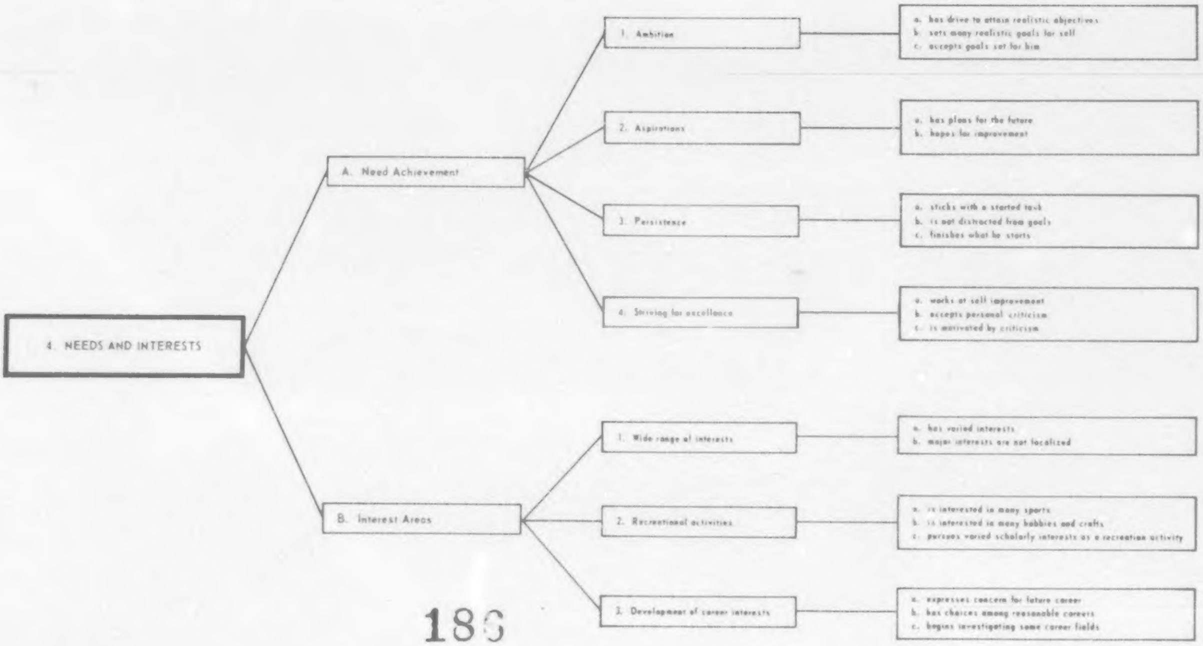
We welcome your comments on the CSE Hierarchical Objectives Charts, both in terms of a critique of the hierarchy as well as anectdotal information on the manner in which the charts are used. Additional sets of CSE Hierarchical Objectives Charts may be purchased for $12.50.

Marvin C. Alkin
Director


1. TEMPERAMENT PERSONAL
A. Shyness-Boldness
1. Timid-Bold
reserved-unrestrained
follower role-leader role
modest-boastful
passive-dominant
2. Apprehensive-Seeking personal contact
talkative-taciturn
lack of social poise-poised
difficulty-ease in making friends
shy-seeking personal contact
3. Personal Security
stage fright
self consciousness
fear to speak up
self confidence
B. Neuroticism-Adjustment
1. Emotionality
a. depression
pessimistic-optimistic
b. fluctuation of spirits
impulsive-deliberative
unstable-stable
mood changes-consistency of mood
emotionally immature-mature
2. Anxiety
a. worry
inferiority feelings-superiority feelings
apprehensive-confident
guilt
b. internalization
sex concern
sleeplessness
hypochondriac
c. nervousness
agitated-calm
relaxed-tense
d. ego-strength
lack of self-control-controlled
distractible-goal directed
inferiority feelings-adequacy feelings
self-pity
low frustration tolerance-high tolerance
facing reality
daydreaming
C. General Activity-Lethargy
1. Mental Activity
a. rashness-cautiousness
b. curiosity
c. adventurousness-safety
2. Physical Activity
a. energetic-plodding
b. ambitious-lazy
c. need to excel
d. need for rest
2. TEMPERAMENT SOCIAL
A. Dependence-Independence
1. Mental
a. risk-taking-safe
b. need for stability-need for variety
c. subjugation-autonomy
d. need for security
e. need for approval
f. self-directing
g. self-disciplined
2. Need for People
a. gregariousness
b. affiliation
c. need for love
d. need for succorance
e. compliance
f. need for praise
B. Hostility-Friendliness
1. Actions
a. defensiveness-openness
b. vengeance
c. aggression
d. empathy
e. rejection-acceptance
f. affectionate-cold
g. stingy-generous
h. inconsiderate-considerate
i. uncooperative-cooperative
2. Attitudes
a. distrust of human nature
b. paranoid-gullible
c. disbelief in human worth
d. cynical-pollyanna
e. attitude toward peers
f. deference
g. responsive-aloof
h. forgiving
i. respects individuals
C. Socialization-Rebelliousness
1. Conformity
a. respect of law-disrespect
b. patriotism
c. obedience-disobedience
2. Dependability
a. responsible-unaccountable
b. reliable-unreliable
c. serious-frivolous
d. loyal-fickle
3. Social Skills
a. good grooming
b. courtesy
c. etiquette
d. polished-rough
4. Moral Ethical
a. honest-dishonest
b. truthful-mendacious
c. trustworthiness



- 3. ATTITUDES
  - A. School Orientation
    - 1. Attitude toward school
      - a. likes school in general
      - b. goes to school regularly
      - c. realizes the value of school
    - 2. Attitude toward teachers
      - a. likes teachers
      - b. deals positively with teachers
    - 3. Attitude toward principal
      - a. respects principal
      - b. does not see principal as threatening
    - 4. Attitude toward subjects
      - a. likes wide range of subjects
      - b. has favorite subjects
      - c. realizes importance of all subjects
    - 5. Attitude toward studying
      - a. does not mind studying
      - b. realizes value of study
    - 6. Attitude toward school peers
      - a. likes classmates
      - b. interacts positively with classmates
  - B. Self Esteem
    - 1. Self concept
      - a. accepts and likes his physical self
      - b. sees himself positively
      - c. feels personally worthy
    - 2. Self confidence
      - a. meets challenges with assurance
      - b. sets realistic challenges for self
    - 3. Self responsibility
      - a. is responsible in activities
      - b. seeks and takes responsibilities
    - 4. Self security
      - a. feels personally safe and secure
      - b. stands up for his rights
      - c. defends his positions and actions

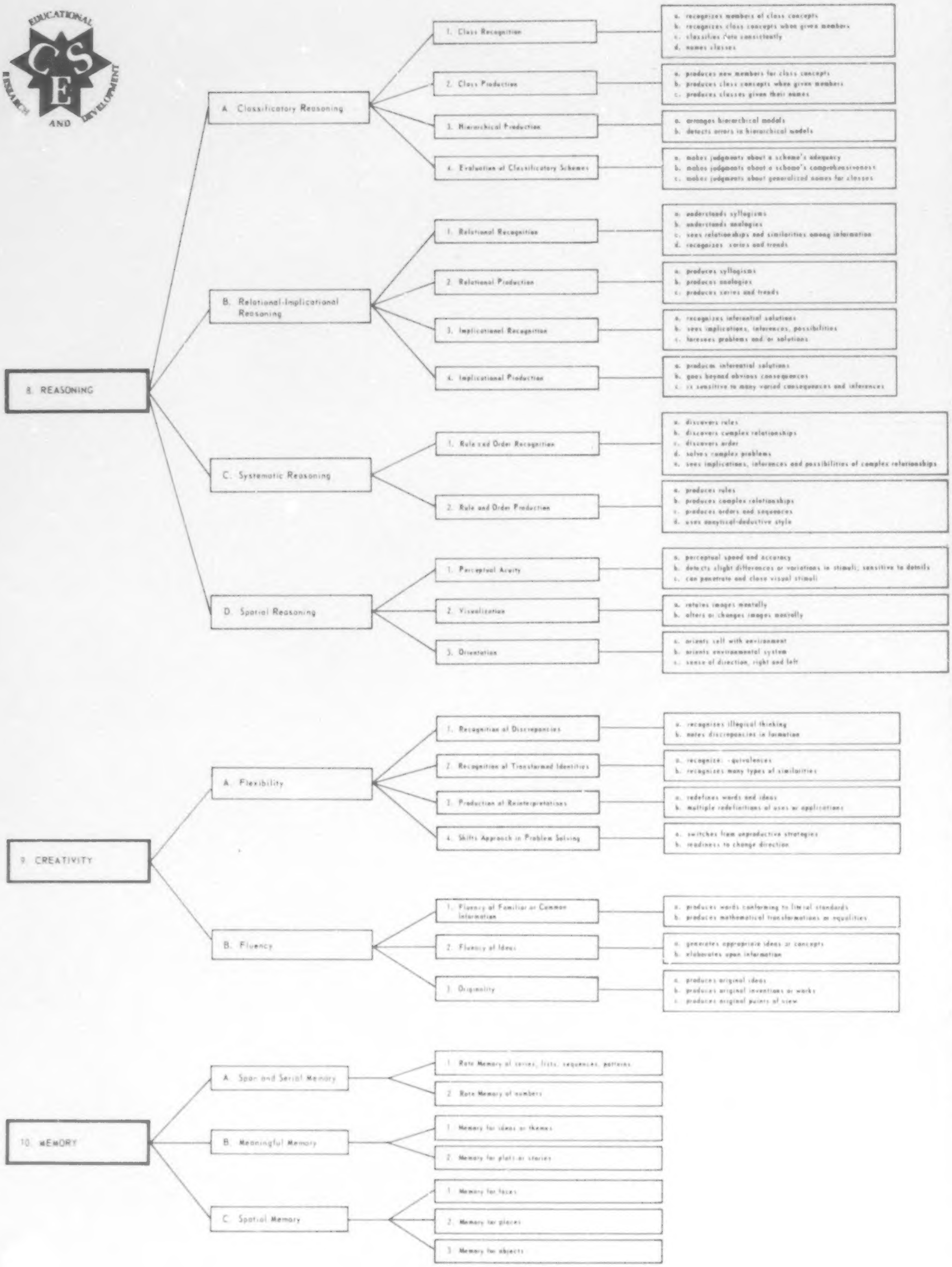


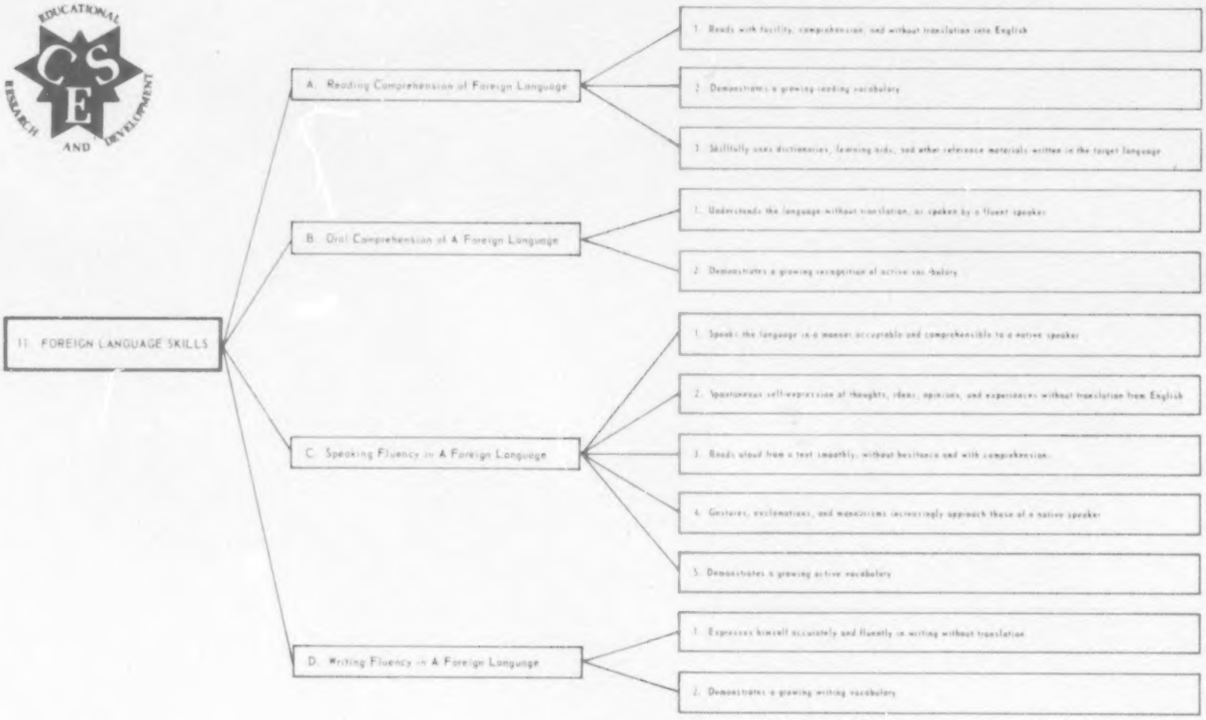
- 4. NEEDS AND INTERESTS
  - A. Need Achievement
    - 1. Ambition
      - a. has drive to attain realistic objectives
      - b. sets many realistic goals for self
      - c. accepts goals set for him
    - 2. Aspirations
      - a. has plans for the future
      - b. hopes for improvement
    - 3. Persistence
      - a. sticks with a started task
      - b. is not distracted from goals
      - c. finishes what he starts
    - 4. Striving for excellence
      - a. works at self improvement
      - b. accepts personal criticism
      - c. is motivated by criticism
  - B. Interest Areas
    - 1. Wide range of interests
      - a. has varied interests
      - b. major interests are not localized
    - 2. Recreational activities
      - a. is interested in many sports
      - b. is interested in many hobbies and crafts
      - c. pursues varied scholarly interests as a recreation activity
    - 3. Development of career interests
      - a. expresses concern for future career
      - b. has choices among reasonable careers
      - c. begins investigating some career fields

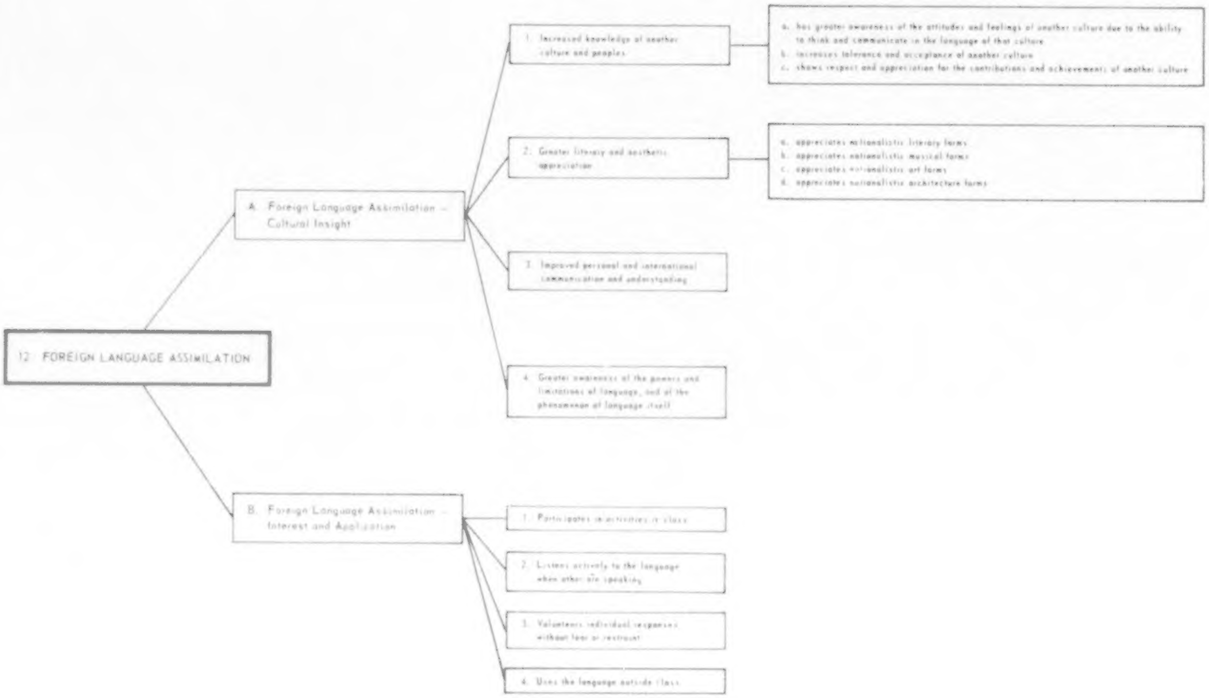
- 5. VALUING ARTS AND CRAFTS
  - A. Valuing Arts and Crafts
    - 1. Fine Art
      - a. appreciates originality and the creative process
      - b. appreciates the many types of visual arts (oil, sculpture, architecture, etc.), the many styles (impressionism, abstract, organic, etc.)
      - c. appreciates good workmanship, design, and construction
      - d. respects the role of art and the artist in society
      - e. has an experimental and explorative attitude toward art
    - 2. Applied Arts and Crafts
      - a. appreciates the artistic aspects of his natural environment
      - b. appreciates the artistic aspects of his industrial environment
      - c. develops consciousness of color, form, arrangement, and design in the objects and structures around him
      - d. develops awareness of aesthetic factors in dress, furnishings, architecture, city design, good art, etc.
  - B. Internalization of Arts and Crafts
    - 1. Judgment
      - a. has preferences for types and works of arts and crafts
      - b. makes judgments about art works and crafts
    - 2. Emotional Involvement
      - a. responds emotionally to moods and feelings in art
      - b. enjoys self-expression through the various art and craft media
      - c. enjoys making useful things
      - d. independently engages in artistic endeavors in leisure time
    - 3. Personal Involvement
      - a. reads about art and artists, crafts, and craftsmen
      - b. attends museums and exhibitions
      - c. paints, draws, sculpts, constructs, etc.
      - d. participates in discussions of art and crafts
      - e. uses everyday materials in creative ways
      - f. expresses satisfaction and pride in creativity and self-expression

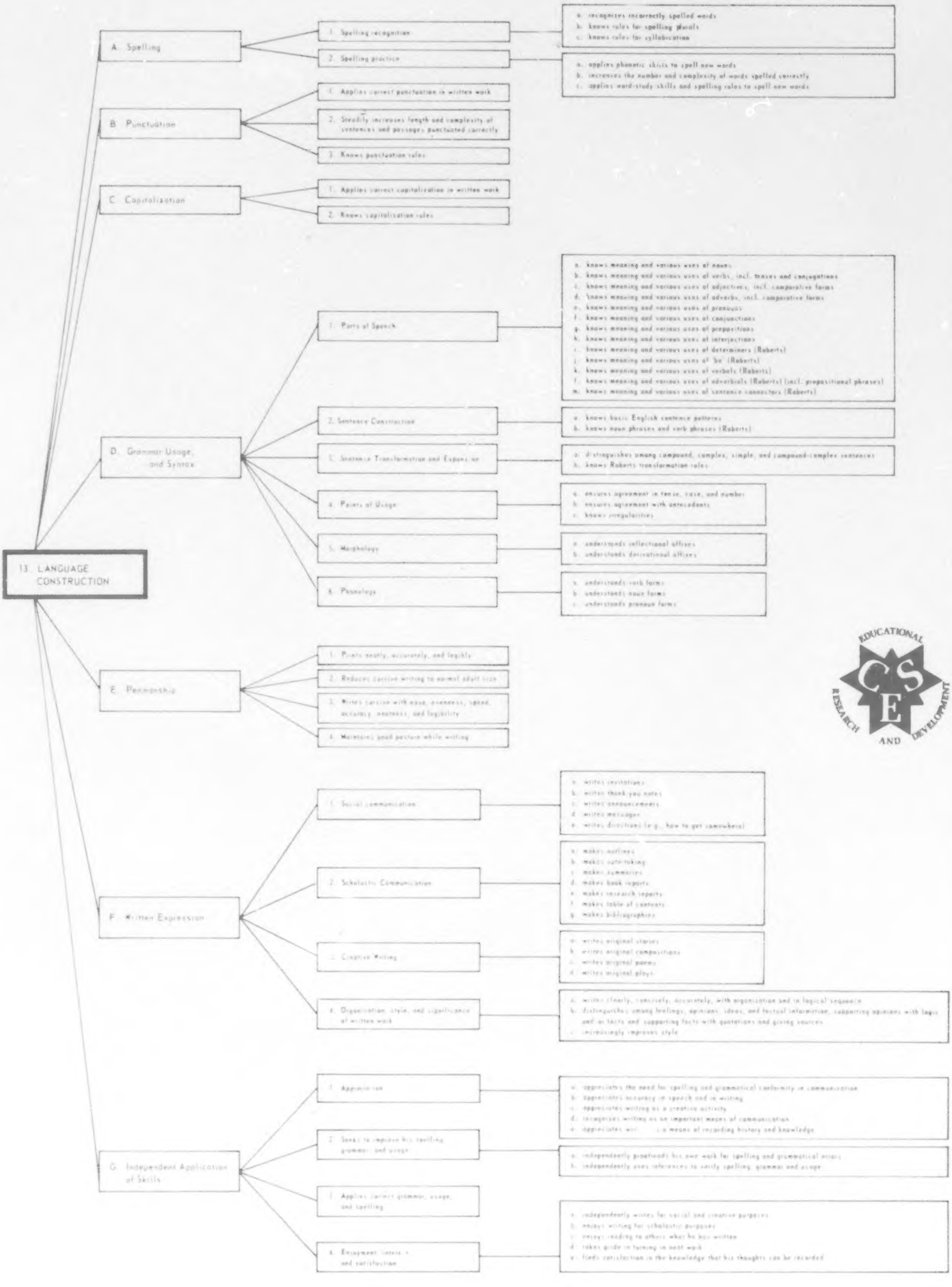
- 6. PRODUCING ARTS AND CRAFTS
  - A. Representational Skill
    - 1. Arts
      - a. represents reality through painting
      - b. draws and designs realistically
      - c. sculpts and models real things accurately
      - d. employs printing and screening techniques to convey reality
      - e. represents reality through collage
    - 2. Crafts
      - a. makes realistic mosaics
      - b. cuts and folds paper to make useful things
      - c. weaves fabrics
      - d. stitches things
      - e. makes ceramics
    - 3. Industrial Arts
      - a. does wood work on useful things
      - b. does metal work on useful things
      - c. makes industrial drawing of plans
  - B. Expressive Skill
    - 1. Expressing moods, feelings, ideas, and themes
      - a. expressively employs fine art media
      - b. reflects expressive ideas in crafts projects
      - c. shows expression in industrial arts
    - 2. Creativity and originality
      - a. shows creativity in fine art works
      - b. has a creative approach to crafts projects
      - c. renders industrial products creatively

- 7. UNDERSTANDING OF ARTS AND CRAFTS
  - A. Arts and Crafts Comprehension
    - 1. Recognizes the subject matter, objects, and ideas in representational art
    - 2. Recognizes the moods and emotions in expressive arts and crafts
    - 3. Recognizes the various media in arts and crafts (e.g., oil, collage, copper, etc.)
    - 4. Recognizes formal elements such as texture, line, form, pattern, color, proportion, and perspective
    - 5. Knowledge of arts and crafts terminology, vocabulary and concepts
    - 6. Identifies the characteristics of the work he admires
    - 7. Shares and discusses his reactions to various works of art or craft
    - 8. Given certain criteria, evaluates works of art or craft, including his own
  - B. Developmental Understanding
    - 1. Recognizes some major artists and craftsmen and their works
    - 2. Recognizes various styles and periods, e.g., abstract, renaissance, impressionistic, etc.
    - 3. Gives some reasons why works are recognized as similar or different
    - 4. Understands major historical and national artistic and crafts developments

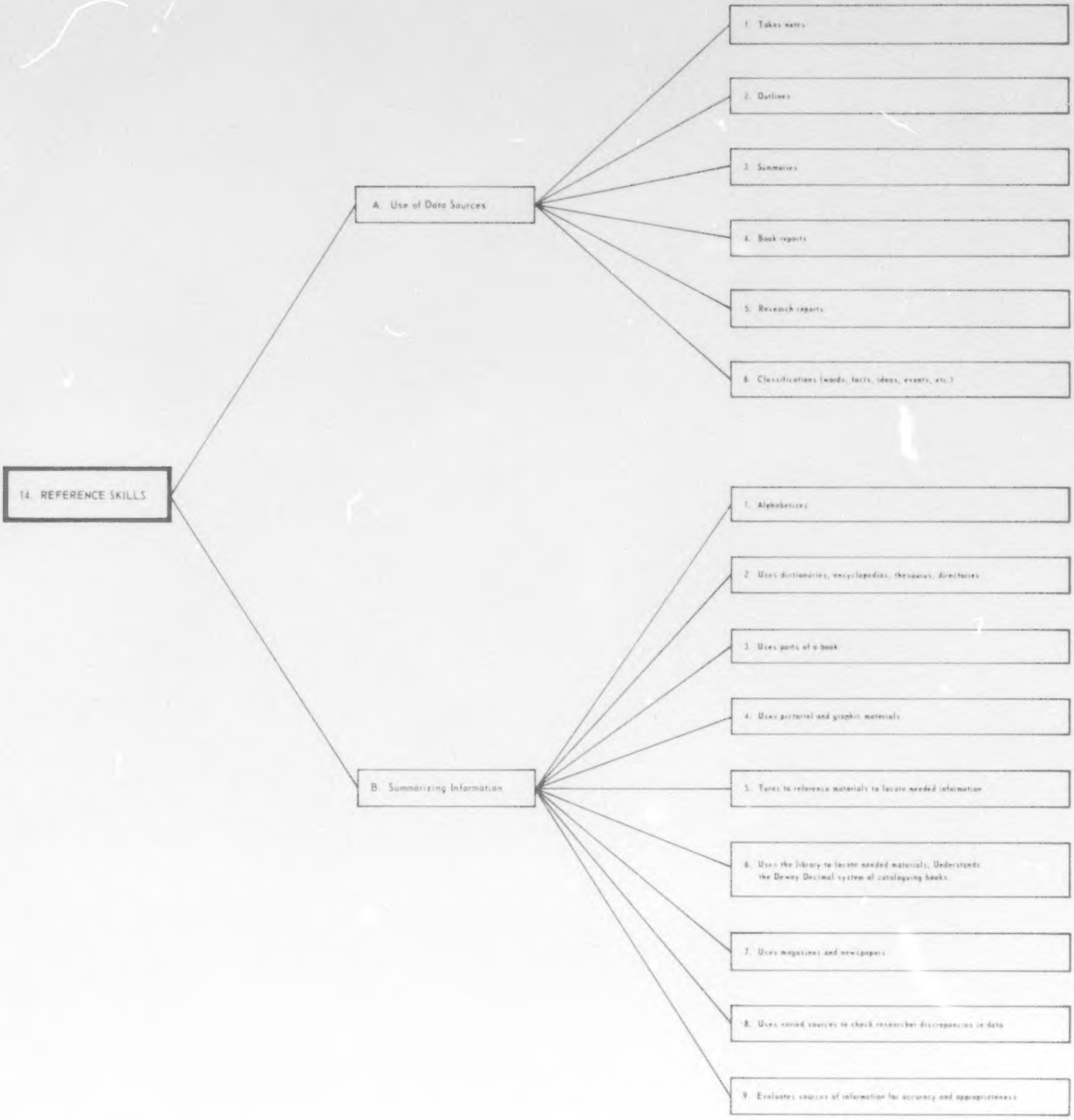

8. REASONING
A. Classificatory Reasoning
1. Class Recognition
a. recognizes members of class concepts
b. recognizes class concepts when given members
c. classifies data consistently
d. names classes
2. Class Production
a. produces new members for class concepts
b. produces class concepts when given members
c. produces classes given their names
3. Hierarchical Production
a. arranges hierarchical models
b. detects errors in hierarchical models
4. Evaluation of Classificatory Schemes
a. makes judgments about a scheme's adequacy
b. makes judgments about a scheme's comprehensiveness
c. makes judgments about generalized names for classes
B. Relational-Implicational Reasoning
1. Relational Recognition
a. understands syllogisms
b. understands analogies
c. sees relationships and similarities among information
d. recognizes series and trends
2. Relational Production
a. produces syllogisms
b. produces analogies
c. produces series and trends
3. Implicational Recognition
a. recognizes inferential solutions
b. sees implications, inferences, possibilities
c. foresees problems and/or solutions
4. Implicational Production
a. produces inferential solutions
b. goes beyond obvious consequences
c. is sensitive to many varied consequences and inferences
C. Systematic Reasoning
1. Rule and Order Recognition
a. discovers rules
b. discovers complex relationships
c. discovers order
d. solves complex problems
e. sees implications, inferences and possibilities of complex relationships
2. Rule and Order Production
a. produces rules
b. produces complex relationships
c. produces orders and sequences
d. uses analytical-deductive style
D. Spatial Reasoning
1. Perceptual Acuity
a. perceptual speed and accuracy
b. detects slight differences or variations in stimuli; sensitive to details
c. can penetrate and close visual stimuli
2. Visualization
a. retains images mentally
b. alters or changes images mentally
3. Orientation
a. orients self with environment
b. orients environmental system
c. sense of direction, right and left
9. CREATIVITY
A. Flexibility
1. Recognition of Discrepancies
a. recognizes illogical thinking
b. notes discrepancies in formation
2. Recognition of Transformed Identities
a. recognizes equivalences
b. recognizes many types of similarities
3. Production of Reinterpretations
a. redefines words and ideas
b. multiple redefinitions of uses or applications
4. Shifts Approach in Problem Solving
a. switches from unproductive strategies
b. readiness to change direction
B. Fluency
1. Fluency of Familiar or Common Information
a. produces words conforming to literal standards
b. produces mathematical transformations or equalities
2. Fluency of Ideas
a. generates appropriate ideas or concepts
b. elaborates upon information
3. Originality
a. produces original ideas
b. produces original inventions or works
c. produces original points of view
10. MEMORY
A. Span and Serial Memory
1. Rote Memory of series, lists, sequences, patterns
2. Rote Memory of numbers
B. Meaningful Memory
1. Memory for ideas or themes
2. Memory for plots or stories
C. Spatial Memory
1. Memory for faces
2. Memory for places
3. Memory for objects

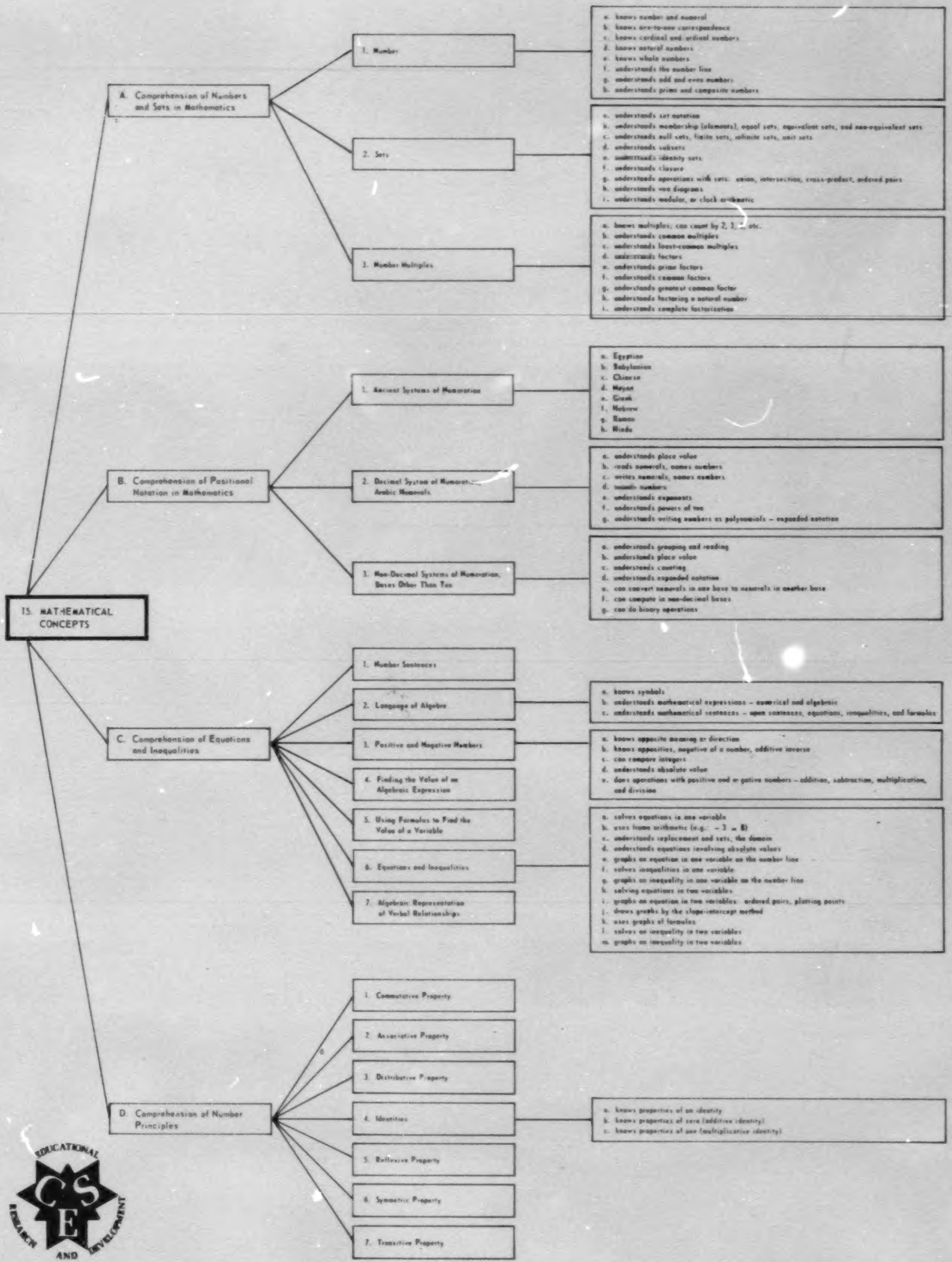

11. FOREIGN LANGUAGE SKILLS
A. Reading Comprehension of Foreign Language
1. Reads with facility, comprehension, and without translation into English
2. Demonstrates a growing reading vocabulary
3. Skillfully uses dictionaries, learning aids, and other reference materials written in the target language
B. Oral Comprehension of A Foreign Language
1. Understands the language without translation, as spoken by a fluent speaker
2. Demonstrates a growing recognition of active vocabulary
C. Speaking Fluency in A Foreign Language
1. Speaks the language in a manner acceptable and comprehensible to a native speaker
2. Spontaneous self-expression of thoughts, ideas, opinions, and experiences without translation from English
3. Reads aloud from a text smoothly, without hesitance and with comprehension
4. Gestures, exclamations, and mannerisms increasingly approach those of a native speaker
5. Demonstrates a growing active vocabulary
D. Writing Fluency in A Foreign Language
1. Expresses himself accurately and fluently in writing without translation
2. Demonstrates a growing writing vocabulary


12. FOREIGN LANGUAGE ASSIMILATION
A. Foreign Language Assimilation – Cultural Insight
1. Increased knowledge of another culture and peoples
a. has greater awareness of the attitudes and feelings of another culture due to the ability to think and communicate in the language of that culture
b. increases tolerance and acceptance of another culture
c. shows respect and appreciation for the contributions and achievements of another culture
2. Greater literary and aesthetic appreciation
a. appreciates nationalistic literary forms
b. appreciates nationalistic musical forms
c. appreciates nationalistic art forms
d. appreciates nationalistic architecture forms
3. Improved personal and international communication and understanding
4. Greater awareness of the powers and limitations of language, and of the phenomenon of language itself
B. Foreign Language Assimilation – Interest and Application
1. Participates in activities in class
2. Listens actively to the language when other are speaking
3. Volunteers individual responses without fear or restraint
4. Uses the language outside class

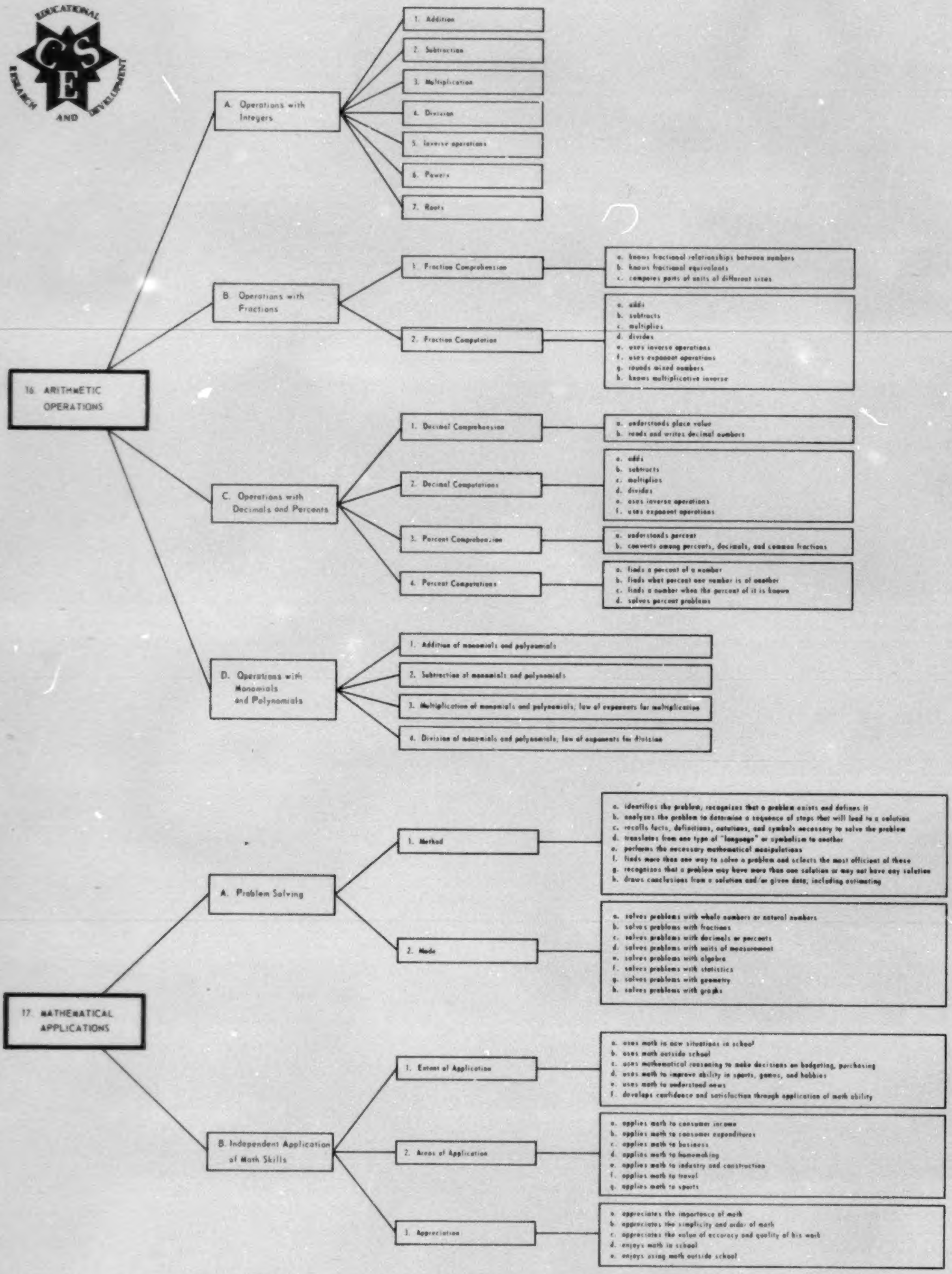


- 13. LANGUAGE CONSTRUCTION
  - A. Spelling
    - 1. Spelling recognition
      - a. recognizes incorrectly spelled words
      - b. knows rules for spelling plurals
      - c. knows rules for syllabication
    - 2. Spelling practice
      - a. applies phonetic skills to spell new words
      - b. increases the number and complexity of words spelled correctly
      - c. applies word-study skills and spelling rules to spell new words
  - B. Punctuation
    - 1. Applies correct punctuation in written work
    - 2. Steadily increases length and complexity of sentences and passages punctuated correctly
    - 3. Knows punctuation rules
  - C. Capitalization
    - 1. Applies correct capitalization in written work
    - 2. Knows capitalization rules
  - D. Grammar Usage, and Syntax
    - 1. Parts of Speech
      - a. knows meaning and various uses of nouns
      - b. knows meaning and various uses of verbs, incl. tenses and conjugations
      - c. knows meaning and various uses of adjectives, incl. comparative forms
      - d. knows meaning and various uses of adverbs, incl. comparative forms
      - e. knows meaning and various uses of pronouns
      - f. knows meaning and various uses of conjunctions
      - g. knows meaning and various uses of prepositions
      - h. knows meaning and various uses of interjections
      - i. knows meaning and various uses of determiners (Roberts)
      - j. knows meaning and various uses of 'be' (Roberts)
      - k. knows meaning and various uses of verbals (Roberts)
      - l. knows meaning and various uses of adverbials (Roberts) (incl. prepositional phrases)
      - m. knows meaning and various uses of sentence connectors (Roberts)
    - 2. Sentence Construction
      - a. knows basic English sentence patterns
      - b. knows noun phrases and verb phrases (Roberts)
    - 3. Sentence Transformation and Expansion
      - a. distinguishes among compound, complex, simple, and compound-complex sentences
      - b. knows Roberts transformation rules
    - 4. Points of Usage
      - a. ensures agreement in tense, case, and number
      - b. ensures agreement with antecedents
      - c. knows irregularities
    - 5. Morphology
      - a. understands inflectional affixes
      - b. understands derivational affixes
    - 6. Phonology
      - a. understands verb forms
      - b. understands noun forms
      - c. understands pronoun forms
  - E. Penmanship
    - 1. Prints neatly, accurately, and legibly
    - 2. Reduces cursive writing to normal adult size
    - 3. Writes cursive with ease, evenness, speed, accuracy, neatness, and legibility
    - 4. Maintains good posture while writing
  - F. Written Expression
    - 1. Social communication
      - a. writes invitations
      - b. writes thank-you notes
      - c. writes announcements
      - d. writes messages
      - e. writes directions (e.g., how to get somewhere)
    - 2. Scholastic Communication
      - a. makes outlines
      - b. makes notetaking
      - c. makes summaries
      - d. makes book reports
      - e. makes research reports
      - f. makes table of contents
      - g. makes bibliographies
    - 3. Creative Writing
      - a. writes original stories
      - b. writes original compositions
      - c. writes original poems
      - d. writes original plays
    - 4. Organization, style, and significance of written work
      - a. writes clearly, concisely, accurately, with organization and in logical sequence
      - b. distinguishes among feelings, opinions, ideas, and factual information, supporting opinions with logic and/or facts and supporting facts with quotations and giving sources
      - c. increasingly improves style
  - G. Independent Application of Skills
    - 1. Appreciation
      - a. appreciates the need for spelling and grammatical conformity in communication
      - b. appreciates accuracy in speech and in writing
      - c. appreciates writing as a creative activity
      - d. recognizes writing as an important means of communication
      - e. appreciates writing as a means of recording history and knowledge
    - 2. Seeks to improve his spelling, grammar and usage
      - a. independently proofreads his own work for spelling and grammatical errors
      - b. independently uses references to verify spelling, grammar and usage
    - 3. Applies correct grammar, usage, and spelling
    - 4. Enjoyment, interest, and satisfaction
      - a. independently writes for social and creative purposes
      - b. enjoys writing for scholastic purposes
      - c. enjoys reading to others what he has written
      - d. takes pride in turning in neat work
      - e. finds satisfaction in the knowledge that his thoughts can be recorded


14. REFERENCE SKILLS
A. Use of Data Sources
1. Takes notes
2. Outlines
3. Summaries
4. Book reports
5. Research reports
6. Classifications (words, facts, ideas, events, etc.)
B. Summarizing Information
1. Alphabetizes
2. Uses dictionaries, encyclopedias, thesaurus, directories
3. Uses parts of a book
4. Uses pictorial and graphic materials
5. Turns to reference materials to locate needed information
6. Uses the library to locate needed materials; Understands the Dewey Decimal system of cataloguing books
7. Uses magazines and newspapers
8. Uses varied sources to check researcher discrepancies in data
9. Evaluates sources of information for accuracy and appropriateness

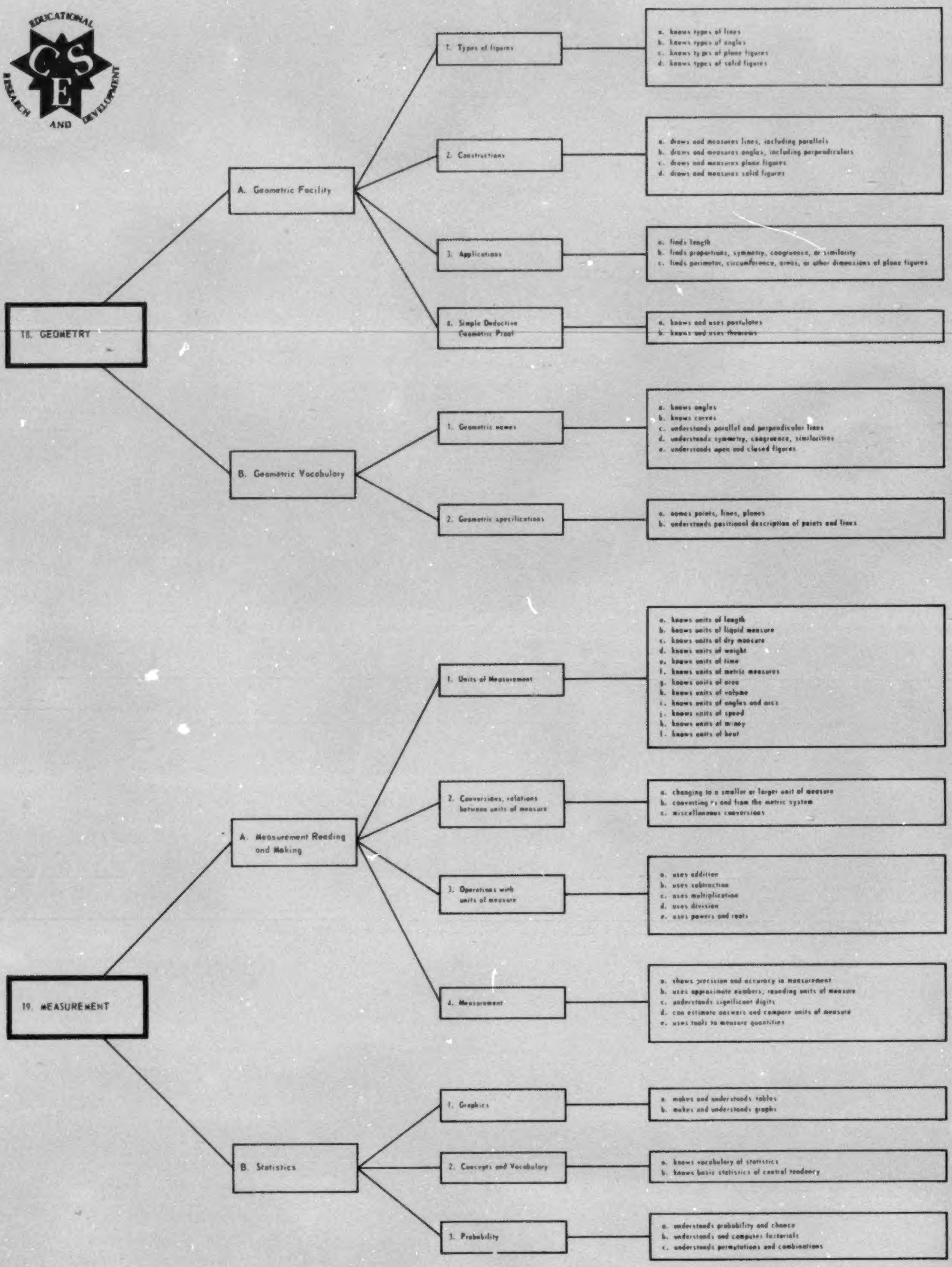


- 15. MATHEMATICAL CONCEPTS
  - A. Comprehension of Numbers and Sets in Mathematics
    - 1. Number
      - a. knows number and numeral
      - b. knows one-to-one correspondence
      - c. knows cardinal and ordinal numbers
      - d. knows natural numbers
      - e. knows whole numbers
      - f. understands the number line
      - g. understands odd and even numbers
      - h. understands prime and composite numbers
    - 2. Sets
      - a. understands set notation
      - b. understands membership (elements), equal sets, equivalent sets, and non-equivalent sets
      - c. understands null sets, finite sets, infinite sets, unit sets
      - d. understands subsets
      - e. understands identity sets
      - f. understands closure
      - g. understands operations with sets: union, intersection, cross-product, ordered pairs
      - h. understands venn diagrams
      - i. understands modular, or clock arithmetic
    - 3. Number Multiples
      - a. knows multiples; can count by 2, 3, 5, etc.
      - b. understands common multiples
      - c. understands least-common multiples
      - d. understands factors
      - e. understands prime factors
      - f. understands common factors
      - g. understands greatest common factor
      - h. understands factoring a natural number
      - i. understands complete factorization
  - B. Comprehension of Positional Notation in Mathematics
    - 1. Ancient Systems of Numeration
      - a. Egyptian
      - b. Babylonian
      - c. Chinese
      - d. Mayan
      - e. Greek
      - f. Hebrew
      - g. Roman
      - h. Hindu
    - 2. Decimal System of Numeration, Arabic Numerals
      - a. understands place value
      - b. reads numerals, names numbers
      - c. writes numerals, names numbers
      - d. rounds numbers
      - e. understands exponents
      - f. understands powers of ten
      - g. understands writing numbers as polynomials – expanded notation
    - 3. Non-Decimal Systems of Numeration; Bases Other Than Ten
      - a. understands grouping and reading
      - b. understands place value
      - c. understands counting
      - d. understands expanded notation
      - e. can convert numerals in one base to numerals in another base
      - f. can compute in non-decimal bases
      - g. can do binary operations
  - C. Comprehension of Equations and Inequalities
    - 1. Number Sentences
    - 2. Language of Algebra
      - a. knows symbols
      - b. understands mathematical expressions – numerical and algebraic
      - c. understands mathematical sentences – open sentences, equations, inequalities, and formulas
    - 3. Positive and Negative Numbers
      - a. knows opposite meaning or direction
      - b. knows opposites, negative of a number, additive inverse
      - c. can compare integers
      - d. understands absolute value
      - e. does operations with positive and negative numbers – addition, subtraction, multiplication, and division
    - 4. Finding the Value of an Algebraic Expression
    - 5. Using Formulas to Find the Value of a Variable
    - 6. Equations and Inequalities
      - a. solves equations in one variable
      - b. uses frame arithmetic (e.g.: $- 3 = 8$)
      - c. understands replacement and sets, the domain
      - d. understands equations involving absolute values
      - e. graphs an equation in one variable on the number line
      - f. solves inequalities in one variable
      - g. graphs an inequality in one variable on the number line
      - h. solving equations in two variables
      - i. graphs an equation in two variables: ordered pairs, plotting points
      - j. draws graphs by the slope-intercept method
      - k. uses graphs of formulas
      - l. solves an inequality in two variables
      - m. graphs an inequality in two variables
    - 7. Algebraic Representation of Verbal Relationships
  - D. Comprehension of Number Principles
    - 1. Commutative Property
    - 2. Associative Property
    - 3. Distributive Property
    - 4. Identities
      - a. knows properties of an identity
      - b. knows properties of zero (additive identity)
      - c. knows properties of one (multiplicative identity)
    - 5. Reflexive Property
    - 6. Symmetric Property
    - 7. Transitive Property

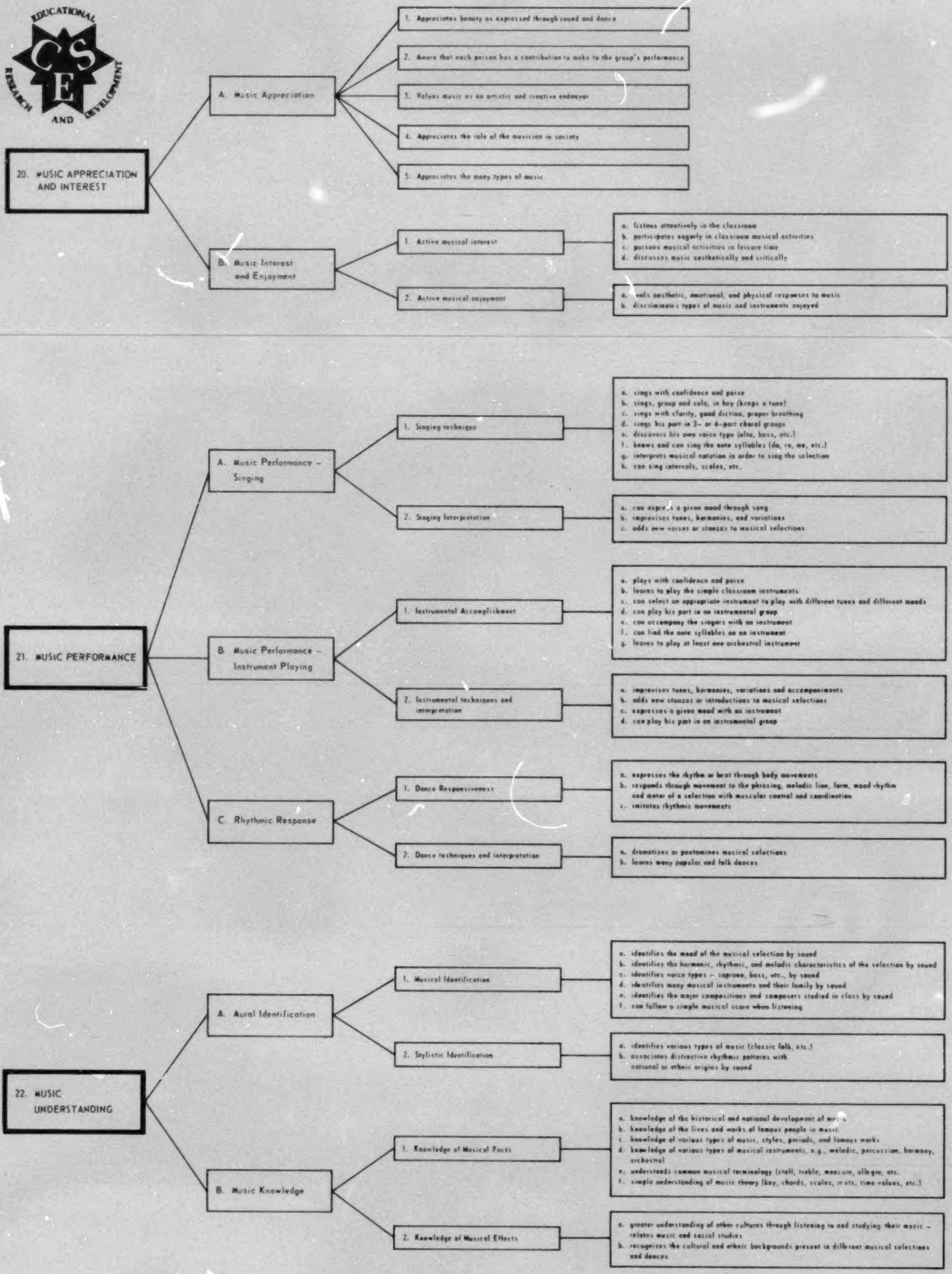


- 16. ARITHMETIC OPERATIONS
  - A. Operations with Integers
    - 1. Addition
    - 2. Subtraction
    - 3. Multiplication
    - 4. Division
    - 5. Inverse operations
    - 6. Powers
    - 7. Roots
  - B. Operations with Fractions
    - 1. Fraction Comprehension
      - a. knows fractional relationships between numbers
      - b. knows fractional equivalents
      - c. compares parts of units of different sizes
    - 2. Fraction Computation
      - a. adds
      - b. subtracts
      - c. multiplies
      - d. divides
      - e. uses inverse operations
      - f. uses exponent operations
      - g. rounds mixed numbers
      - h. knows multiplicative inverse
  - C. Operations with Decimals and Percents
    - 1. Decimal Comprehension
      - a. understands place value
      - b. reads and writes decimal numbers
    - 2. Decimal Computations
      - a. adds
      - b. subtracts
      - c. multiplies
      - d. divides
      - e. uses inverse operations
      - f. uses exponent operations
    - 3. Percent Comprehension
      - a. understands percent
      - b. converts among percents, decimals, and common fractions
    - 4. Percent Computations
      - a. finds a percent of a number
      - b. finds what percent one number is of another
      - c. finds a number when the percent of it is known
      - d. solves percent problems
  - D. Operations with Monomials and Polynomials
    - 1. Addition of monomials and polynomials
    - 2. Subtraction of monomials and polynomials
    - 3. Multiplication of monomials and polynomials; law of exponents for multiplication
    - 4. Division of monomials and polynomials, law of exponents for division

- 17. MATHEMATICAL APPLICATIONS
  - A. Problem Solving
    - 1. Method
      - a. identifies the problem, recognizes that a problem exists and defines it
      - b. analyzes the problem to determine a sequence of steps that will lead to a solution
      - c. recalls facts, definitions, notations, and symbols necessary to solve the problem
      - d. translates from one type of "language" or symbolism to another
      - e. performs the necessary mathematical manipulations
      - f. finds more than one way to solve a problem and selects the most efficient of these
      - g. recognizes that a problem may have more than one solution or may not have any solution
      - h. draws conclusions from a solution and/or given data, including estimating
    - 2. Mode
      - a. solves problems with whole numbers or natural numbers
      - b. solves problems with fractions
      - c. solves problems with decimals or percents
      - d. solves problems with units of measurement
      - e. solves problems with algebra
      - f. solves problems with statistics
      - g. solves problems with geometry
      - h. solves problems with graphs
  - B. Independent Application of Math Skills
    - 1. Extent of Application
      - a. uses math in new situations in school
      - b. uses math outside school
      - c. uses mathematical reasoning to make decisions on budgeting, purchasing
      - d. uses math to improve ability in sports, games, and hobbies
      - e. uses math to understand news
      - f. develops confidence and satisfaction through application of math ability
    - 2. Areas of Application
      - a. applies math to consumer income
      - b. applies math to consumer expenditures
      - c. applies math to business
      - d. applies math to homemaking
      - e. applies math to industry and construction
      - f. applies math to travel
      - g. applies math to sports
    - 3. Appreciation
      - a. appreciates the importance of math
      - b. appreciates the simplicity and order of math
      - c. appreciates the value of accuracy and quality of his work
      - d. enjoys math in school
      - e. enjoys using math outside school



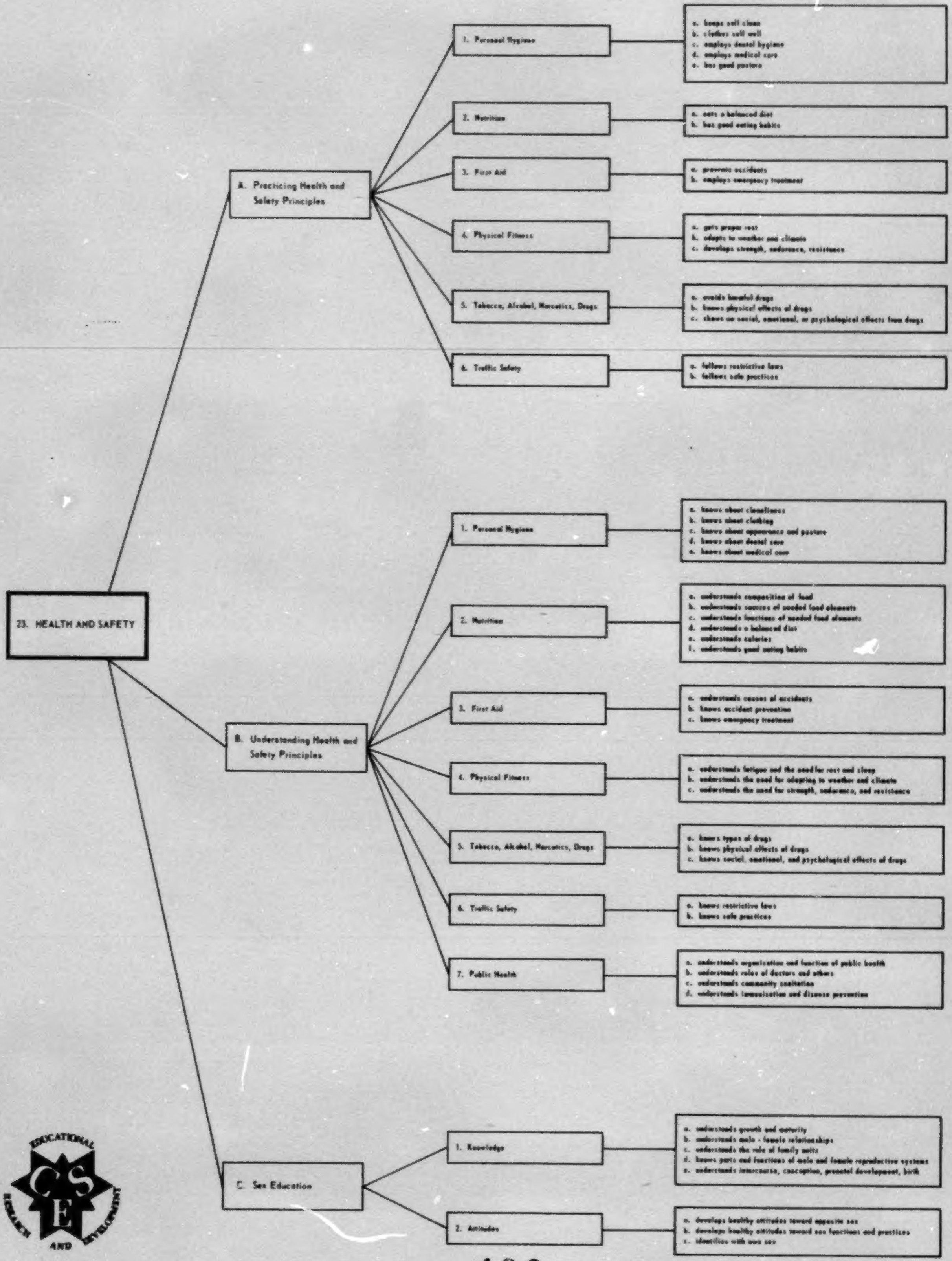
- 18. GEOMETRY
  - A. Geometric Facility
    - 1. Types of figures
      - a. knows types of lines
      - b. knows types of angles
      - c. knows types of plane figures
      - d. knows types of solid figures
    - 2. Constructions
      - a. draws and measures lines, including parallels
      - b. draws and measures angles, including perpendiculars
      - c. draws and measures plane figures
      - d. draws and measures solid figures
    - 3. Applications
      - a. finds length
      - b. finds proportions, symmetry, congruence, or similarity
      - c. finds perimeter, circumference, areas, or other dimensions of plane figures
    - 4. Simple Deductive Geometric Proof
      - a. knows and uses postulates
      - b. knows and uses theorems
  - B. Geometric Vocabulary
    - 1. Geometric names
      - a. knows angles
      - b. knows curves
      - c. understands parallel and perpendicular lines
      - d. understands symmetry, congruence, similarities
      - e. understands open and closed figures
    - 2. Geometric specifications
      - a. names points, lines, planes
      - b. understands positional description of points and lines
- 19. MEASUREMENT
  - A. Measurement Reading and Making
    - 1. Units of Measurement
      - a. knows units of length
      - b. knows units of liquid measure
      - c. knows units of dry measure
      - d. knows units of weight
      - e. knows units of time
      - f. knows units of metric measures
      - g. knows units of area
      - h. knows units of volume
      - i. knows units of angles and arcs
      - j. knows units of speed
      - k. knows units of money
      - l. knows units of heat
    - 2. Conversions, relations between units of measure
      - a. changing to a smaller or larger unit of measure
      - b. converting to and from the metric system
      - c. miscellaneous conversions
    - 3. Operations with units of measure
      - a. uses addition
      - b. uses subtraction
      - c. uses multiplication
      - d. uses division
      - e. uses powers and roots
    - 4. Measurement
      - a. shows precision and accuracy in measurement
      - b. uses approximate numbers; rounding units of measure
      - c. understands significant digits
      - d. can estimate answers and compare units of measure
      - e. uses tools to measure quantities
  - B. Statistics
    - 1. Graphics
      - a. makes and understands tables
      - b. makes and understands graphs
    - 2. Concepts and Vocabulary
      - a. knows vocabulary of statistics
      - b. knows basic statistics of central tendency
    - 3. Probability
      - a. understands probability and chance
      - b. understands and computes factorials
      - c. understands permutations and combinations



- 20. MUSIC APPRECIATION AND INTEREST
  - A. Music Appreciation
    - 1. Appreciates beauty as expressed through sound and dance
    - 2. Aware that each person has a contribution to make to the group's performance
    - 3. Values music as an artistic and creative endeavor
    - 4. Appreciates the role of the musician in society
    - 5. Appreciates the many types of music
  - B. Music Interest and Enjoyment
    - 1. Active musical interest
      - a. listens attentively in the classroom
      - b. participates eagerly in classroom musical activities
      - c. pursues musical activities in leisure time
      - d. discusses music aesthetically and critically
    - 2. Active musical enjoyment
      - a. feels aesthetic, emotional, and physical responses to music
      - b. discriminates types of music and instruments enjoyed

- 21. MUSIC PERFORMANCE
  - A. Music Performance – Singing
    - 1. Singing technique
      - a. sings with confidence and poise
      - b. sings, group and solo, in key (keeps a tune)
      - c. sings with clarity, good diction, proper breathing
      - d. sings his part in 3- or 4-part choral groups
      - e. discovers his own voice type (alto, bass, etc.)
      - f. knows and can sing the note syllables (do, re, me, etc.)
      - g. interprets musical notation in order to sing the selection
      - h. can sing intervals, scales, etc.
    - 2. Singing Interpretation
      - a. can express a given mood through song
      - b. improvises tunes, harmonies, and variations
      - c. adds new verses or stanzas to musical selections
  - B. Music Performance – Instrument Playing
    - 1. Instrumental Accomplishment
      - a. plays with confidence and poise
      - b. learns to play the simple classroom instruments
      - c. can select an appropriate instrument to play with different tunes and different moods
      - d. can play his part in an instrumental group
      - e. can accompany the singers with an instrument
      - f. can find the note syllables on an instrument
      - g. learns to play at least one orchestral instrument
    - 2. Instrumental techniques and interpretation
      - a. improvises tunes, harmonies, variations and accompaniments
      - b. adds new stanzas or introductions to musical selections
      - c. expresses a given mood with an instrument
      - d. can play his part in an instrumental group
  - C. Rhythmic Response
    - 1. Dance Responsiveness
      - a. expresses the rhythm or beat through body movements
      - b. responds through movement to the phrasing, melodic line, form, mood rhythm and meter of a selection with muscular control and coordination
      - c. imitates rhythmic movements
    - 2. Dance techniques and interpretation
      - a. dramatises or pantomines musical selections
      - b. learns many popular and folk dances

- 22. MUSIC UNDERSTANDING
  - A. Aural Identification
    - 1. Musical Identification
      - a. identifies the mood of the musical selection by sound
      - b. identifies the harmonic, rhythmic, and melodic characteristics of the selection by sound
      - c. identifies voice types – soprano, bass, etc., by sound
      - d. identifies many musical instruments and their family by sound
      - e. identifies the major compositions and composers studied in class by sound
      - f. can follow a simple musical score when listening
    - 2. Stylistic Identification
      - a. identifies various types of music (classic folk, etc.)
      - b. associates distinctive rhythmic patterns with national or ethnic origins by sound
  - B. Music Knowledge
    - 1. Knowledge of Musical Facts
      - a. knowledge of the historical and national development of music
      - b. knowledge of the lives and works of famous people in music
      - c. knowledge of various types of music, styles, periods, and famous works
      - d. knowledge of various types of musical instruments, e.g., melodic, percussion, harmony, orchestral
      - e. understands common musical terminology (staff, treble, measure, allegro, etc.
      - f. simple understanding of music theory (key, chords, scales, rests, time values, etc.)
    - 2. Knowledge of Musical Effects
      - a. greater understanding of other cultures through listening to and studying their music – relates music and social studies
      - b. recognizes the cultural and ethnic backgrounds present in different musical selections and dances



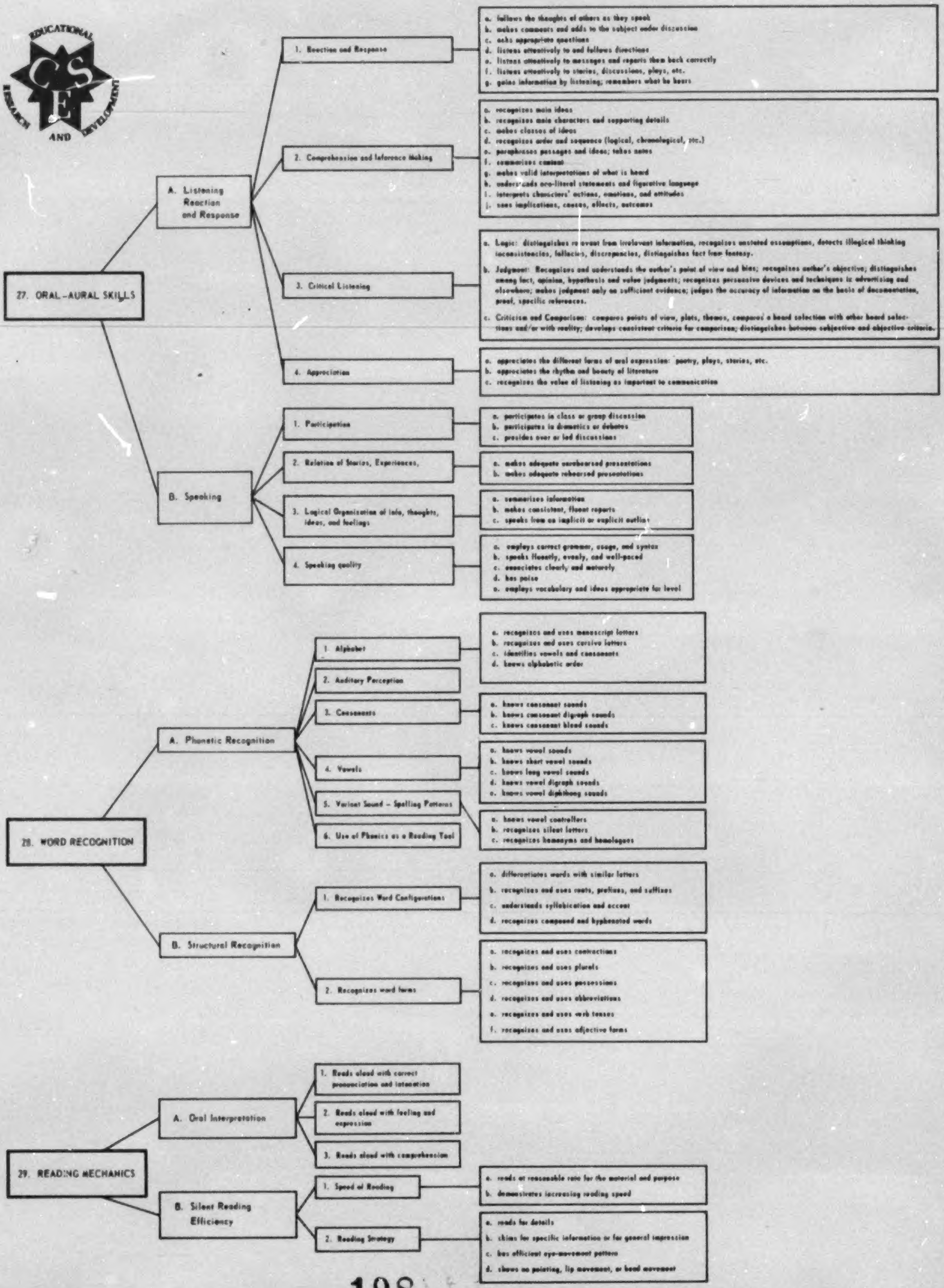
23. HEALTH AND SAFETY

- A. Practicing Health and Safety Principles
  - 1. Personal Hygiene
    - a. keeps self clean
    - b. clothes self well
    - c. employs dental hygiene
    - d. employs medical care
    - e. has good posture
  - 2. Nutrition
    - a. eats a balanced diet
    - b. has good eating habits
  - 3. First Aid
    - a. prevents accidents
    - b. employs emergency treatment
  - 4. Physical Fitness
    - a. gets proper rest
    - b. adapts to weather and climate
    - c. develops strength, endurance, resistance
  - 5. Tobacco, Alcohol, Narcotics, Drugs
    - a. avoids harmful drugs
    - b. knows physical effects of drugs
    - c. shows no social, emotional, or psychological effects from drugs
  - 6. Traffic Safety
    - a. follows restrictive laws
    - b. follows safe practices
- B. Understanding Health and Safety Principles
  - 1. Personal Hygiene
    - a. knows about cleanliness
    - b. knows about clothing
    - c. knows about appearance and posture
    - d. knows about dental care
    - e. knows about medical care
  - 2. Nutrition
    - a. understands composition of food
    - b. understands sources of needed food elements
    - c. understands functions of needed food elements
    - d. understands a balanced diet
    - e. understands calories
    - f. understands good eating habits
  - 3. First Aid
    - a. understands causes of accidents
    - b. knows accident prevention
    - c. knows emergency treatment
  - 4. Physical Fitness
    - a. understands fatigue and the need for rest and sleep
    - b. understands the need for adapting to weather and climate
    - c. understands the need for strength, endurance, and resistance
  - 5. Tobacco, Alcohol, Narcotics, Drugs
    - a. knows types of drugs
    - b. knows physical effects of drugs
    - c. knows social, emotional, and psychological effects of drugs
  - 6. Traffic Safety
    - a. knows restrictive laws
    - b. knows safe practices
  - 7. Public Health
    - a. understands organization and function of public health
    - b. understands roles of doctors and others
    - c. understands community sanitation
    - d. understands immunization and disease prevention
- C. Sex Education
  - 1. Knowledge
    - a. understands growth and maturity
    - b. understands male - female relationships
    - c. understands the role of family units
    - d. knows parts and functions of male and female reproductive systems
    - e. understands intercourse, conception, prenatal development, birth
  - 2. Attitudes
    - a. develops healthy attitudes toward opposite sex
    - b. develops healthy attitudes toward sex functions and practices
    - c. identifies with own sex

- 24. PHYSICAL SKILLS
  - A. Muscle Control
    - 1. Muscular and body control
      - a. endurance and stamina
      - b. vigor and strength
      - c. flexibility and agility
      - d. balance
      - e. poise
      - f. hand-eye coordination, foot-eye coordination
      - g. manual dexterity and manipulation of objects
      - h. coordination
    - 2. Basic sport skills
      - a. fundamental body skills and gymnastics
      - b. aquatics
      - c. individual and team sports
  - B. Physical Development (general)
    - 1. Natural and rhythmic body movements
      - a. corrects postural defects and improves posture
      - b. improves breathing and circulation
      - c. develops efficient body movements and learns to control unnecessary movements
    - 2. Healthy body and physical well-being
      - a. demonstrates good physical condition
      - b. develops alertness and responsiveness

- 25. SPORTSMANSHIP
  - A. Group Activity – Sportsmanship
    - 1. Grows in ability to cooperate, and take turns
    - 2. Develops wholesome attitudes toward victory and defeat
    - 3. Develops initiative, leadership, and the ability to be a good follower
    - 4. Develops individual and group responsibilities
    - 5. Shows respect for individual differences in physique and athletic performance
    - 6. Develops self-control
    - 7. Develops safety habits
    - 8. Obeys the rules of the game
    - 9. Emotionally as well as physically involved in the activity (team spirit)
  - B. Independent Interest and Participation in Sports & Games
    - 1. Participates in a variety of sports and games at school
    - 2. Participates in a variety of sports and games outside school
    - 3. Takes pride in excellence; tries to improve
    - 4. Appreciates the value of sports and games

- 26. PHYSICAL EDUCATION
  - A. Physical Education – Understanding of Rules and Strategies
    - 1. Knows terminology, vocabulary, and concepts associated with athletics, games, and physical education
    - 2. Understands the directions and rules of physical education activities
    - 3. Understands the strategies and objectives of sports and games
    - 4. Understands the role required of him in sports and games
    - 5. Thinks up new games and activities or modifications
  - B. Physical Education – Knowledge of Apparatus
    - 1. Growing feelings of personal self-adequacy in improving athletic performance
    - 2. Analyzes performance and plans for improvement
    - 3. Selects wholesome activities to fill leisure time – independently participates in a variety of physical activities
    - 4. Finds physical activities relaxing and enjoyable



- 27. ORAL-AURAL SKILLS
  - A. Listening Reaction and Response
    - 1. Reaction and Response
      - a. follows the thoughts of others as they speak
      - b. makes comments and adds to the subject under discussion
      - c. asks appropriate questions
      - d. listens attentively to and follows directions
      - e. listens attentively to messages and reports them back correctly
      - f. listens attentively to stories, discussions, plays, etc.
      - g. gains information by listening; remembers what he hears
    - 2. Comprehension and Inference Making
      - a. recognizes main ideas
      - b. recognizes main characters and supporting details
      - c. makes classes of ideas
      - d. recognizes order and sequence (logical, chronological, etc.)
      - e. paraphrases passages and ideas; takes notes
      - f. summarizes content
      - g. makes valid interpretations of what is heard
      - h. understands non-literal statements and figurative language
      - i. interprets characters' actions, emotions, and attitudes
      - j. sees implications, causes, effects, outcomes
    - 3. Critical Listening
      - a. Logic: distinguishes relevant from irrelevant information, recognizes unstated assumptions, detects illogical thinking inconsistencies, fallacies, discrepancies, distinguishes fact from fantasy.
      - b. Judgment: Recognizes and understands the author's point of view and bias; recognizes author's objective; distinguishes among fact, opinion, hypothesis and value judgments; recognizes persuasive devices and techniques in advertising and elsewhere; makes judgment only on sufficient evidence; judges the accuracy of information on the basis of documentation, proof, specific references.
      - c. Criticism and Comparison: compares points of view, plots, themes, compares a heard selection with other heard selections and/or with reality; develops consistent criteria for comparison; distinguishes between subjective and objective criteria.
    - 4. Appreciation
      - a. appreciates the different forms of oral expression: poetry, plays, stories, etc.
      - b. appreciates the rhythm and beauty of literature
      - c. recognizes the value of listening as important to communication
  - B. Speaking
    - 1. Participation
      - a. participates in class or group discussion
      - b. participates in dramatics or debates
      - c. presides over or led discussions
    - 2. Relation of Stories, Experiences,
      - a. makes adequate unrehearsed presentations
      - b. makes adequate rehearsed presentations
    - 3. Logical Organization of info, thoughts, ideas, and feelings
      - a. summarizes information
      - b. makes consistent, fluent reports
      - c. speaks from an implicit or explicit outline
    - 4. Speaking quality
      - a. employs correct grammar, usage, and syntax
      - b. speaks fluently, evenly, and well-paced
      - c. enunciates clearly and maturely
      - d. has poise
      - e. employs vocabulary and ideas appropriate for level
- 28. WORD RECOGNITION
  - A. Phonetic Recognition
    - 1. Alphabet
      - a. recognizes and uses manuscript letters
      - b. recognizes and uses cursive letters
      - c. identifies vowels and consonants
      - d. knows alphabetic order
    - 2. Auditory Perception
    - 3. Consonants
      - a. knows consonant sounds
      - b. knows consonant digraph sounds
      - c. knows consonant blend sounds
    - 4. Vowels
      - a. knows vowel sounds
      - b. knows short vowel sounds
      - c. knows long vowel sounds
      - d. knows vowel digraph sounds
      - e. knows vowel diphthong sounds
    - 5. Variant Sound – Spelling Patterns
      - a. knows vowel controllers
      - b. recognizes silent letters
      - c. recognizes homonyms and homologues
    - 6. Use of Phonics as a Reading Tool
  - B. Structural Recognition
    - 1. Recognizes Word Configurations
      - a. differentiates words with similar letters
      - b. recognizes and uses roots, prefixes, and suffixes
      - c. understands syllabication and accent
      - d. recognizes compound and hyphenated words
    - 2. Recognizes word forms
      - a. recognizes and uses contractions
      - b. recognizes and uses plurals
      - c. recognizes and uses possessions
      - d. recognizes and uses abbreviations
      - e. recognizes and uses verb tenses
      - f. recognizes and uses adjective forms
- 29. READING MECHANICS
  - A. Oral Interpretation
    - 1. Reads aloud with correct pronunciation and intonation
    - 2. Reads aloud with feeling and expression
    - 3. Reads aloud with comprehension
  - B. Silent Reading Efficiency
    - 1. Speed of Reading
      - a. reads at reasonable rate for the material and purpose
      - b. demonstrates increasing reading speed
    - 2. Reading Strategy
      - a. reads for details
      - b. skims for specific information or for general impression
      - c. has efficient eye-movement pattern
      - d. shows no pointing, lip movement, or head movement

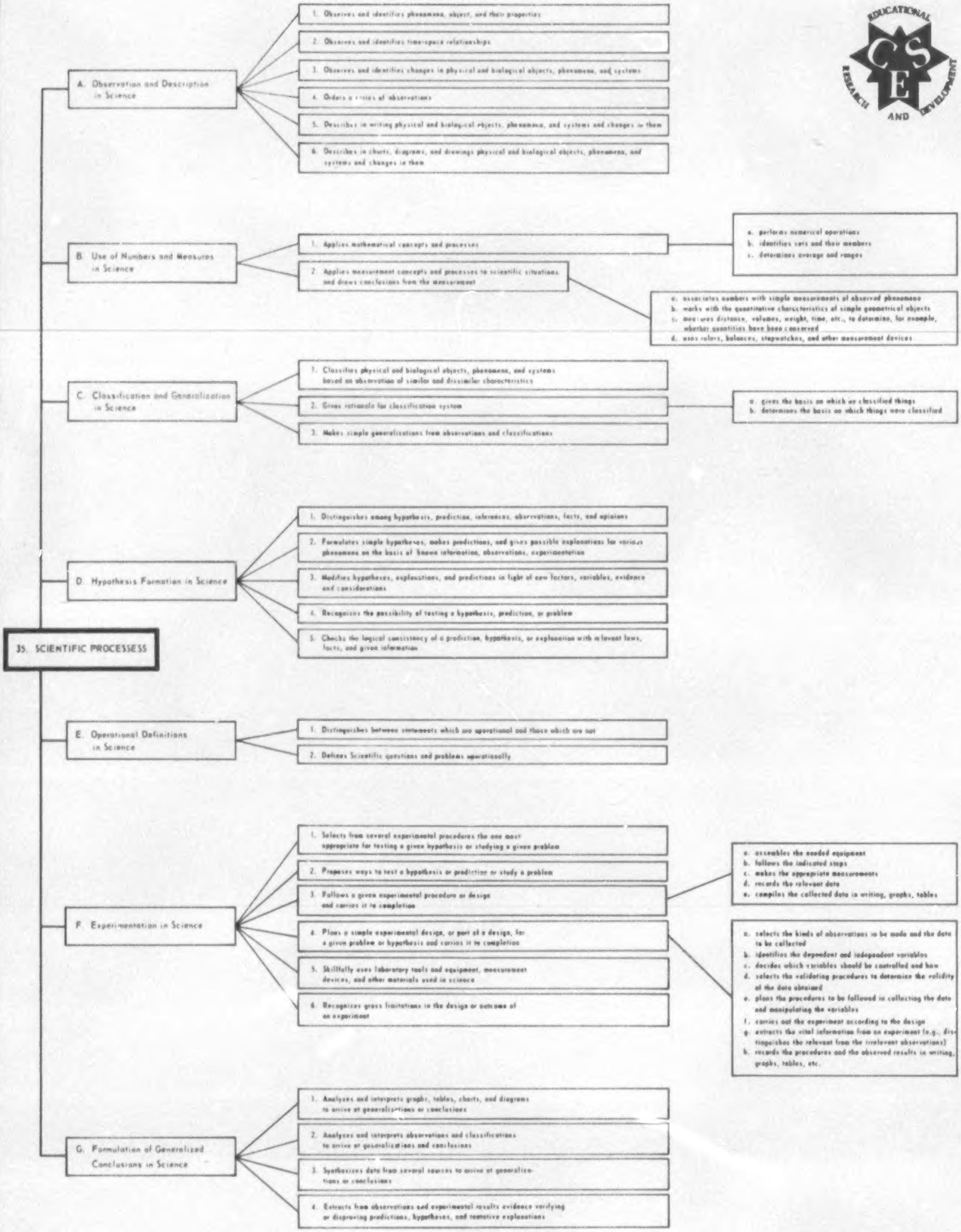
- **30. READING COMPREHENSION**
  - A. Recognition of Word Meanings
    - 1. Breadth of Vocabulary
      - a. develops an increasing sight vocabulary
      - b. recognizes word meanings through context
      - c. finds word meanings through dictionary
    - 2. Depth of Vocabulary
      - a. recognizes denotations, connotations, nuances
      - b. recognizes multiple meanings of words
    - 3. Vocabulary Strategy
      - a. recognizes word meanings through word analysis
      - b. recognizes synonyms, antonyms, homonyms
  - B. Understanding of Ideational Complexes
    - 1. Understands organization of ideas
      - a. recognizes main ideas
      - b. recognizes supporting details
      - c. recognizes order and sequence
      - d. understands interrelationships among ideas
      - e. takes notes
    - 2. Understands complex ideas
      - a. grasps complex thoughts as wholes
      - b. paraphrases passages and ideas
      - c. follows written directions
  - C. Remembering of Information
    - 1. Recalls main ideas
    - 2. Recalls main characters and supporting details
    - 3. Recalls events in their logical sequence
    - 4. Remembers written messages to report them back correctly or act accordingly
- **31. READING INTERPRETATION**
  - A. Inference Making
    - 1. Makes valid interpretations of what is read
    - 2. Understands the meaning of non-literal statements and figurative language: metaphor, simile, irony, symbolism, personification, allegory, etc.
    - 3. Interprets characters' actions, emotions, and attitudes; infers character traits and determines motives
    - 4. See implications and makes inferences; infers causes
    - 5. Predicts outcomes
  - B. Recognition of Literary Devices
    - 1. Recognition of stylistic devices
      - a. recognizes the use of figurative language and non-literal statements; can distinguish among types of non-literal statements
      - b. recognizes literary genre, styles and settings; recognizes stylistic similarities and differences
      - c. recognizes literary structural devices; meter, alliteration, onomatopoeia, use of mood, appeal to senses
    - 2. Recognition of development devices
      - a. understands development of mood and emotion
      - b. understands character development
      - c. understands plot development
  - C. Critical Reading
    - 1. Logic
      - a. distinguishes relevant from irrelevant information
      - b. recognizes unstated assumptions
      - c. detects illogical thinking, inconsistencies, fallacies, and discrepancies; distinguishes fact from fantasy
    - 2. Judgment
      - a. recognizes and understands the author's point of view and bias
      - b. recognizes the author's objective
      - c. distinguishes among fact, opinion, hypothesis, and value judgments
      - d. recognizes persuasive devices and techniques used in advertising, propaganda, etc.
      - e. makes judgments only on sufficient evidence
      - f. judges the accuracy of information on the basis of documentation, proof, specific references
    - 3. Criticism and Comparison
      - a. compares points of view, plots, themes, moods
      - b. compares a reading selection with other reading selections and/or with reality
      - c. develops consistent criteria for comparison
      - d. distinguishes between subjective and objective criteria
- **32. READING APPRECIATION AND RESPONSE**
  - A. Attitudes
    - 1. Appreciation
      - a. appreciates the importance of reading: for communication, as a source of information, to learn other subjects, understand other cultures, etc.
      - b. appreciates the power of language and literature for pleasure and inspiration
      - c. appreciates the importance of good reading ability
    - 2. Enjoyment
      - a. enjoys reading in school; recommends things to others
      - b. enjoys reading outside school
      - c. responds emotionally to reading matter
  - B. Behavior Modification
    - 1. Reads more, including news and a variety of types of literature
    - 2. Reads more selectively
    - 3. Uses printed materials and references for specific information
    - 4. Modifies attitudes and behavior as a result of insights or identification gained through reading
    - 5. Tries to improve reading skill
  - C. Familiarity with Standard Children's Literature

33. RELIGIOUS KNOWLEDGE

- 1. Knows and understands the doctrine, dogma, dictates, laws, and principles of his religion
- 2. Knows and understands the theory and rationale behind the doctrine, dogma, dictates, and principles of his religion
- 3. Knows and understands the hierarchical structure and organization of his church
- 4. Can defend his religion

34. RELIGIOUS BELIEF

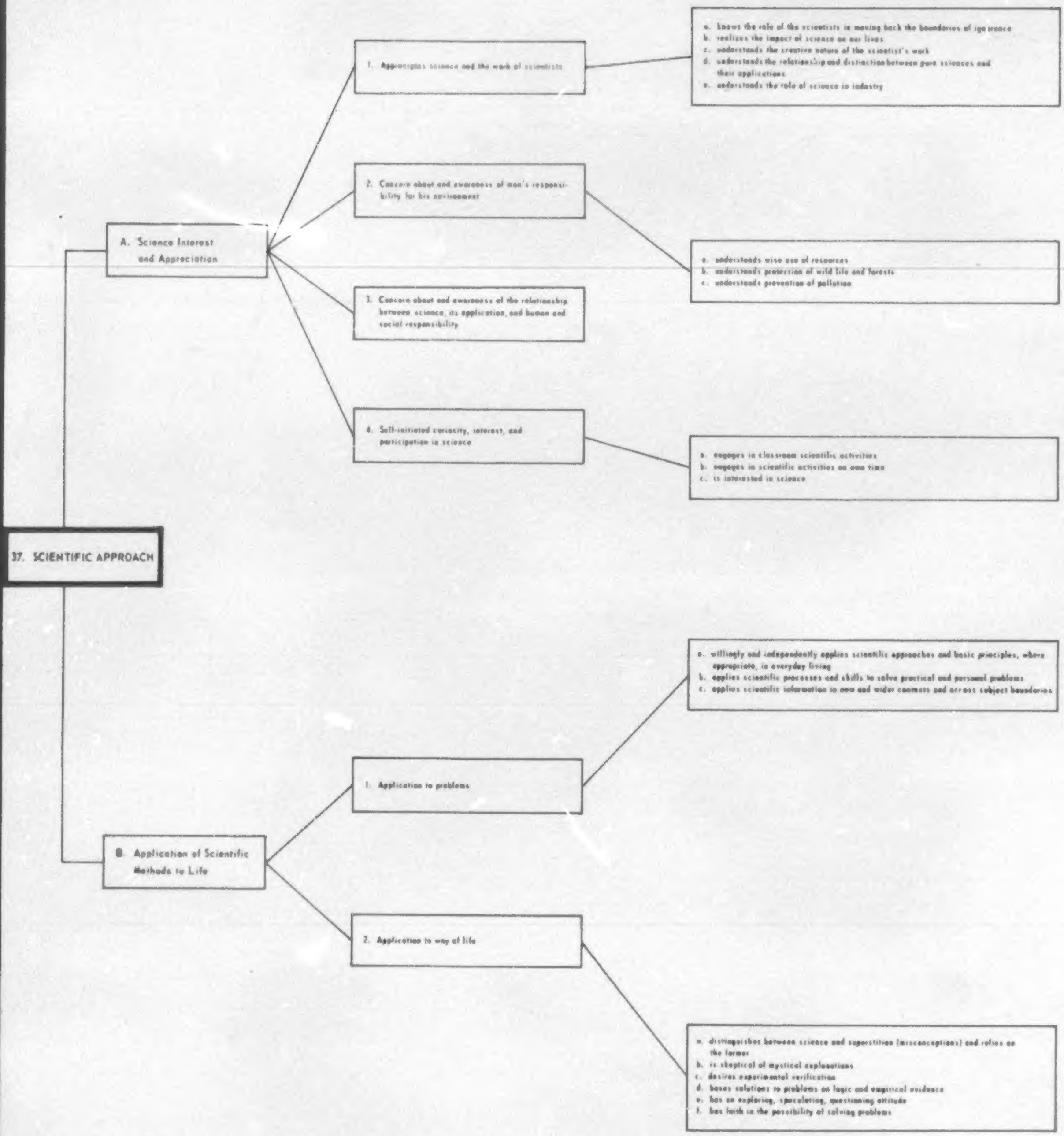
- 1. Applies his religious beliefs to daily life; is moral and virtuous according to the dictates of his religion, participates in religious activities, meditates, celebrates religious holidays, joins religious service groups
- 2. Has faith; believes the doctrine, dogma, principles, laws, and dictates of his religion
- 3. Contributes to the support of his church



- 35. SCIENTIFIC PROCESSESS
  - A. Observation and Description in Science
    - 1. Observes and identifies phenomena, object, and their properties
    - 2. Observes and identifies time-space relationships
    - 3. Observes and identifies changes in physical and biological objects, phenomena, and systems
    - 4. Orders a series of observations
    - 5. Describes in writing physical and biological objects, phenomena, and systems and changes in them
    - 6. Describes in charts, diagrams, and drawings physical and biological objects, phenomena, and systems and changes in them
  - B. Use of Numbers and Measures in Science
    - 1. Applies mathematical concepts and processes
      - a. performs numerical operations
      - b. identifies sets and their members
      - c. determines average and ranges
    - 2. Applies measurement concepts and processes to scientific situations and draws conclusions from the measurement
      - a. associates numbers with simple measurements of observed phenomena
      - b. works with the quantitative characteristics of simple geometrical objects
      - c. measures distance, volumes, weight, time, etc., to determine, for example, whether quantities have been conserved
      - d. uses rulers, balances, stopwatches, and other measurement devices
  - C. Classification and Generalization in Science
    - 1. Classifies physical and biological objects, phenomena, and systems based on observation of similar and dissimilar characteristics
    - 2. Gives rationale for classification system
      - a. gives the basis on which he classified things
      - b. determines the basis on which things were classified
    - 3. Makes simple generalizations from observations and classifications
  - D. Hypothesis Formation in Science
    - 1. Distinguishes among hypothesis, prediction, inferences, observations, facts, and opinions
    - 2. Formulates simple hypotheses, makes predictions, and gives possible explanations for various phenomena on the basis of known information, observations, experimentation
    - 3. Modifies hypotheses, explanations, and predictions in light of new factors, variables, evidence and considerations
    - 4. Recognizes the possibility of testing a hypothesis, prediction, or problem
    - 5. Checks the logical consistency of a prediction, hypothesis, or explanation with relevant laws, facts, and given information
  - E. Operational Definitions in Science
    - 1. Distinguishes between statements which are operational and those which are not
    - 2. Defines Scientific questions and problems operationally
  - F. Experimentation in Science
    - 1. Selects from several experimental procedures the one most appropriate for testing a given hypothesis or studying a given problem
    - 2. Proposes ways to test a hypothesis or prediction or study a problem
    - 3. Follows a given experimental procedure or design and carries it to completion
      - a. assembles the needed equipment
      - b. follows the indicated steps
      - c. makes the appropriate measurements
      - d. records the relevant data
      - e. compiles the collected data in writing, graphs, tables
    - 4. Plans a simple experimental design, or part of a design, for a given problem or hypothesis and carries it to completion
      - a. selects the kinds of observations to be made and the data to be collected
      - b. identifies the dependent and independent variables
      - c. decides which variables should be controlled and how
      - d. selects the validating procedures to determine the validity of the data obtained
      - e. plans the procedures to be followed in collecting the data and manipulating the variables
      - f. carries out the experiment according to the design
      - g. extracts the vital information from an experiment (e.g., distinguishes the relevant from the irrelevant observations)
      - h. records the procedures and the observed results in writing, graphs, tables, etc.
    - 5. Skillfully uses laboratory tools and equipment, measurement devices, and other materials used in science
    - 6. Recognizes gross limitations in the design or outcome of an experiment
  - G. Formulation of Generalized Conclusions in Science
    - 1. Analyzes and interprets graphs, tables, charts, and diagrams to arrive at generalizations or conclusions
    - 2. Analyzes and interprets observations and classifications to arrive at generalizations and conclusions
    - 3. Synthesizes data from several sources to arrive at generalizations or conclusions
    - 4. Extracts from observations and experimental results evidence verifying or disproving predictions, hypotheses, and tentative explanations

36. SCIENTIFIC KNOWLEDGE

- **A. Knowledge of Scientific Facts and Terminology**
  - 1. Life
    - a. knows meaning of life
    - b. knows organization of living things
    - c. knows history of life
  - 2. Ecology
    - a. understands needs and tropisms
    - b. understands adaptation and heredity
    - c. understands balance of nature; food chains
  - 3. Botany
    - a. knows plant types
    - b. knows plant needs
    - c. knows structure and function of plant parts
    - d. knows plant growth and reproduction
  - 4. Zoology
    - a. knows animal types
    - b. knows animal needs, habitat, and life style
    - c. knows structure and function of animal parts
    - d. knows animal growth and reproduction
  - 5. Physiology
    - a. understands circulatory system
    - b. understands respiration
    - c. understands endocrine system
    - d. understands digestive system
    - e. understands muscular and skeletal system
    - f. understands reproductive system
    - g. understands nervous system
  - 6. Geology and Geography
    - a. knows minerals, metals, rocks
    - b. knows composition of the earth's crust and interior
    - c. knows geological history
    - d. understands erosion and weathering
    - e. understands causes and effects of earthquakes
    - f. understands differences in appearance of the earth due to differences in climates and elevations
    - g. understands changes wrought by man in the appearance of the earth
  - 7. Weather and atmosphere
    - a. knows composition of air
    - b. understands air pressure
    - c. understands air temperature
    - d. understands moisture in the air: relative humidity, dew, clouds, rain, snow water cycle – evaporation and condensation
    - e. understands wind: speed, direction, causes
    - f. understands measuring and forecasting the weather
      the work of the weather bureau
      weather instruments
      interpreting weather maps
  - 8. Astronomy
    - a. understands the earth – its rotation and revolution
    - b. understands the moon
    - c. understands the sun
    - d. understands the planets
    - e. understands our solar system and its relation to the universe
    - f. understands comets, meteors, meteorites
    - g. understands stars and galaxies
    - h. understands age and dimension of the universe – sense of scale
    - i. knows instruments and techniques in astronomy
    - j. understands mapping the sky, constellations, the zodiac
  - 9. Physical Sciences
    - a. understands matter and energy
    - b. understands motion and forces
    - c. understands machines
    - d. understands heat
    - e. understands electricity and magnetism
    - f. understands space travel
- **B. The Nature and Purpose of Science**
  - 1. Understands the investigative nature of science
    - a. sees science as a search for understanding of the environment
    - b. knows science is not and probably never will be a finished enterprise
    - c. understands the scientific method and its importance to discovery and increase of knowledge
    - d. knows some questions are amenable to scientific inquiry and others are not
  - 2. Importance of measurement
    - a. knows quantitative measurements of phenomena can be made
    - b. knows quantitative measures provide clearer and more precise representations of phenomena than qualitative descriptions
    - c. knows the formulation and establishment of laws are facilitated through quantitative distinctions
  - 3. Observations are generalized into laws
    - a. knows order can be observed in the universe
    - b. knows laws are based on similar results having been observed repeatedly by many scientists working independently
  - 4. Difference between laws and theories
    - a. knows how laws are generalized into theories
    - b. knows how one can theorize about why things happen
  - 5. History and development of science
    - a. knows the beginnings of systematic observations and measurements
    - b. knows early science concepts
    - c. knows important scientists and their discoveries
  - 6. The relationship between scientific progress, technical achievements, and economic development; the role of science in industry



37. SCIENTIFIC APPROACH

A. Science Interest and Appreciation

1. Appreciates science and the work of scientists

a. knows the role of the scientists in moving back the boundaries of ignorance
b. realizes the impact of science on our lives
c. understands the creative nature of the scientist's work
d. understands the relationship and distinction between pure sciences and their applications
e. understands the role of science in industry

2. Concern about and awareness of man's responsibility for his environment

a. understands wise use of resources
b. understands protection of wild life and forests
c. understands prevention of pollution

3. Concern about and awareness of the relationship between science, its application, and human and social responsibility

4. Self-initiated curiosity, interest, and participation in science

a. engages in classroom scientific activities
b. engages in scientific activities on own time
c. is interested in science

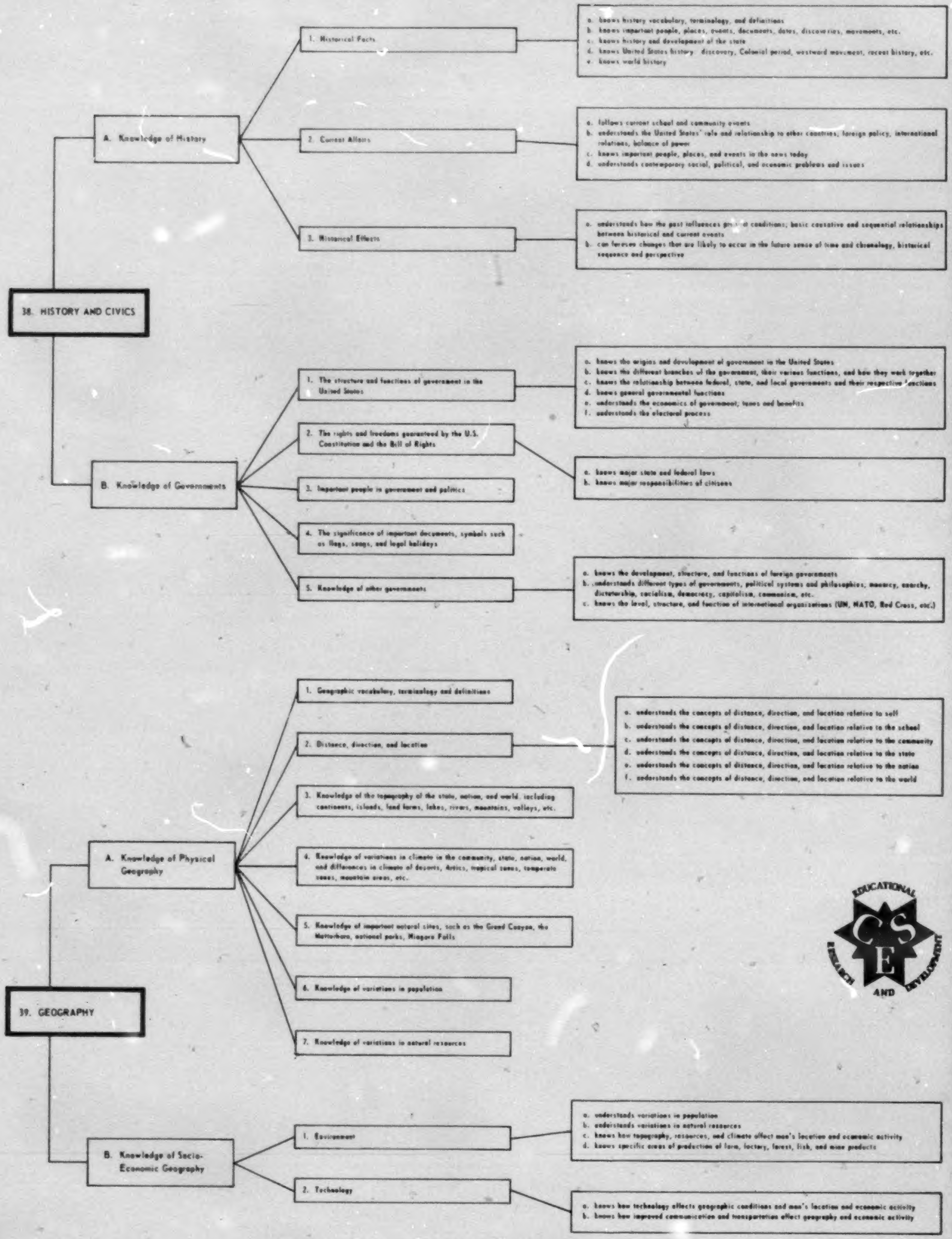
B. Application of Scientific Methods to Life

1. Application to problems

a. willingly and independently applies scientific approaches and basic principles, where appropriate, in everyday living
b. applies scientific processes and skills to solve practical and personal problems
c. applies scientific information in new and wider contexts and across subject boundaries

2. Application to way of life

a. distinguishes between science and superstition (misconceptions) and relies on the former
b. is skeptical of mystical explanations
c. desires experimental verification
d. bases solutions to problems on logic and empirical evidence
e. has an exploring, speculating, questioning attitude
f. has faith in the possibility of solving problems



38. HISTORY AND CIVICS

- A. Knowledge of History
  - 1. Historical Facts
    - a. knows history vocabulary, terminology, and definitions
    - b. knows important people, places, events, documents, dates, discoveries, movements, etc.
    - c. knows history and development of the state
    - d. knows United States history discovery, Colonial period, westward movement, recent history, etc.
    - e. knows world history
  - 2. Current Affairs
    - a. follows current school and community events
    - b. understands the United States' role and relationship to other countries, foreign policy, international relations, balance of power
    - c. knows important people, places, and events in the news today
    - d. understands contemporary social, political, and economic problems and issues
  - 3. Historical Effects
    - a. understands how the past influences present conditions; basic causative and sequential relationships between historical and current events
    - b. can foresee changes that are likely to occur in the future sense of time and chronology, historical sequence and perspective
- B. Knowledge of Governments
  - 1. The structure and functions of government in the United States
    - a. knows the origins and development of government in the United States
    - b. knows the different branches of the government, their various functions, and how they work together
    - c. knows the relationship between federal, state, and local governments and their respective functions
    - d. knows general governmental functions
    - e. understands the economics of government; taxes and benefits
    - f. understands the electoral process
  - 2. The rights and freedoms guaranteed by the U.S. Constitution and the Bill of Rights
    - a. knows major state and federal laws
    - b. knows major responsibilities of citizens
  - 3. Important people in government and politics
  - 4. The significance of important documents, symbols such as flags, songs, and legal holidays
  - 5. Knowledge of other governments
    - a. knows the development, structure, and functions of foreign governments
    - b. understands different types of governments, political systems and philosophies, monarchy, anarchy, dictatorship, socialism, democracy, capitalism, communism, etc.
    - c. knows the level, structure, and function of international organizations (UN, NATO, Red Cross, etc.)

39. GEOGRAPHY

- A. Knowledge of Physical Geography
  - 1. Geographic vocabulary, terminology and definitions
  - 2. Distance, direction, and location
    - a. understands the concepts of distance, direction, and location relative to self
    - b. understands the concepts of distance, direction, and location relative to the school
    - c. understands the concepts of distance, direction, and location relative to the community
    - d. understands the concepts of distance, direction, and location relative to the state
    - e. understands the concepts of distance, direction, and location relative to the nation
    - f. understands the concepts of distance, direction, and location relative to the world
  - 3. Knowledge of the topography of the state, nation, and world, including continents, islands, land forms, lakes, rivers, mountains, valleys, etc.
  - 4. Knowledge of variations in climate in the community, state, nation, world, and differences in climate of deserts, Artics, tropical zones, temperate zones, mountain areas, etc.
  - 5. Knowledge of important natural sites, such as the Grand Canyon, the Matterhorn, national parks, Niagara Falls
  - 6. Knowledge of variations in population
  - 7. Knowledge of variations in natural resources
- B. Knowledge of Socio-Economic Geography
  - 1. Environment
    - a. understands variations in population
    - b. understands variations in natural resources
    - c. knows how topography, resources, and climate affect man's location and economic activity
    - d. knows specific areas of production of farm, factory, forest, fish, and mine products
  - 2. Technology
    - a. knows how technology affects geographic conditions and man's location and economic activity
    - b. knows how improved communication and transportation affect geography and economic activity

- **40. SOCIOLOGY**
  - A. Cultural Knowledge
    - 1. Knows vocabulary, terminology, and definitions useful in sociology
    - 2. Knows of different cultures; food, shelter, clothing, occupations, and social relations
    - 3. Understands society's influence on our way of thinking and way of life
    - 4. Knows how the individual affects the progress, conditions, and forces operating in the world around him
  - B. Social Organization Knowledge
    - 1. Awareness of the interdependence and interrelationships among peoples, regions, and nations
    - 2. Awareness of the contribution of many different peoples to our way of life
    - 3. Knowledge of communication between communities, states, nations
    - 4. Can compare and contrast rural and urban life, farm life, and city life
    - 5. Awareness of how and why social groups develop and change
      - a. understands the social role of the family, role of family members, the family in society and how family needs are provided for
      - b. understands the social role of the school: its role in society, role of school personnel
      - c. understands the social role of the community: awareness of the variety of work needed to meet peoples' needs and desires

- **41. APPLICATION OF SOCIAL STUDIES**
  - A. Research Skills
    - 1. Research Resource Skills
      - a. identifies likely sources of needed information
      - b. uses encyclopedias and other references
      - c. uses newspapers, magazines, pamphlets
      - d. uses audio visual sources, e.g., newsreels, TV, radio
      - e. uses the library card files and catalogues to locate needed materials
      - f. has skill in interviewing to obtain information
      - g. has skill in note-taking from discussions, lectures, interviews, and printed materials
      - h. has map and globe skills – understands, uses, interprets atlases, maps and globes
      - i. uses and interprets graphs, charts, and tables
      - j. uses many different sources rather than one to research a topic
    - 2. Research Presentation Skills
      - a. organizes information
      - b. analyzes and synthesizes data; comparing and combining information from various sources
      - c. makes tables of contents, bibliographies, footnotes, etc. to accompany the results of research
      - d. makes charts, graphs, tables, and time lines to accompany and/or clarify researched data
      - e. makes maps
  - B. Citizenship
    - 1. Concern for the dignity of every individual.
      - a. is aware that every individual has worth
      - b. treats every individual with tolerance and respect
      - c. respects individual differences and understands that these are natural and desirable
    - 2. Concern for the welfare, rights, and freedoms of all individuals
      - a. seeks to improve the welfare of those less fortunate
      - b. treats others with justice and fairness
      - c. respects the privacy and property of others
    - 3. Absence of ethnocentric tendencies
      - a. respects other countries, peoples, and ways of life
      - b. appreciates the contributions of many different peoples to life in the U.S.
      - c. shows openmindness to new or unfamiliar ideas, points of view, etc.
    - 4. Acknowledgement of his role as a group member and as a citizen
      - a. participates and accepts responsibilities in family, school, and community activities
      - b. obeys home, school, and public laws and rules
      - c. lawfully protests unjust rules, laws, or authority, calls attention to them and opposes them through use of the democratic system
      - d. applies democratic procedures on a practical level when working in a group
      - e. seeks to improve situations through constructive criticism
      - f. knows and follows social customs and courtesies, politeness, propriety, conventions
    - 5. Supports free and honest communication
      - a. questions the authority of rumor and publicity
      - b. seeks to collect accurate information and examine alternatives before making important decisions, judgments, or taking a stand on an issue
      - c. asks questions about human affairs and seeks answers to them
  - C. Interest in Social Studies
    - 1. Appreciates the importance of Social Studies
    - 2. Tries to excel in Social Studies activities and knowledge
    - 3. Enjoys and participates in Social Studies at school
    - 4. Enjoys and participates in Social Studies activity outside of school